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A MANUAL FOR TEAM LEADERS  
of  
Technical Assistance-Institution Building Projects

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## FOREIGN ASSISTANCE FOR THE 'SEVENTIES'

- ...The less developed countries have made impressive progress and can now stand at the center of the international development process
- ...The international development institutions and an increasing number of bilateral donors are expanding their aid programs
- ...An international donor community is emerging which is increasingly more effective in coordinating donor response to the initiatives of the LDC's
- ...The problems are changing. Progress begets new opportunities and new problems.

President Nixon  
September 1970

## PREFACE

The Manual for Team Leaders of Technical Assistance - Institution Building Projects is a summary and interpretation of a considerable amount of reporting and writing that has occurred over the past several years. The Manual is a direct outgrowth of the continuing concern on the part of AID and various U. S. universities that past experience and research efforts be exploited to the maximum. Reports of much of that experience and research, unfortunately, is still available only in mimeographed form which has received limited distribution.

The authors have not attempted to produce new materials in the Manual but have drawn heavily upon existing materials - even lifted language and sentences directly from them. Since the style of the Manual precludes copious annotation and referencing, we take this opportunity of acknowledging our debt to those who made the initial contributions. A small bibliography is appended which lists the publications that contributed most extensively to the Manual and which deserve major credit. The authors hope that readers will find time to read many of the original materials for deeper insights into the topics covered.

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## **CHAPTER I - ABOUT THE MANUAL**

**Types of Technical Assistance**

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## CHAPTER I - ABOUT THE MANUAL

### TYPES OF TECHNICAL ASSISTANCE

Technical assistance may be classified in two categories; the first representing the installation of a specific facility or program and the second the development of an institution. Most technical assistance projects include a mixture of the two types in varying proportions. There are many useful reasons, however, for distinguishing between them conceptually, and these distinctions are presented at the outset because this manual is concerned primarily with those projects that are essentially of the institution building type.

The installation of a facility or program may refer to the building of a factory, a highway, a fishing fleet or installing an accounting system. The technical assistance contribution to these ventures may include engineering skills, managerial ability and other inputs commonly found in advanced industrial societies in addition to equipment and materials requiring foreign exchange. The technical assistance advisers in such projects provide essential technical information at the appropriate time and in understandable form so that the installation will proceed without delay and the facility or program will function smoothly after completion. This type of project often includes the training of local personnel in the operation of the facility or program and in the technical principles which underlie the major aspects of its operation.

The institution building type of technical assistance is the process of helping develop a new agency or organization with capability of having specified impact in society, or reconstituting existing organizations

he is the one who has access to the various external resources for institution building; and he must have the insights necessary to bring these to bear on the new organization in an efficient and creative fashion.

Since the team leader is responsible to several different agencies - the host institution, the host government, the home institution and the external assistance agency - it would be most helpful to him if all of them held similar views of the tasks the team leader is to perform. In the best of all worlds this will be the situation, but in the majority of cases there will be divergences in some of the goals and expectations among this group. Therefore, in outlining the functions and strategies of the team leader and his technical assistance group, the manual should also be useful to administrative persons who recruit and supervise the team leader and the team members. It should serve as a guide in the selection of persons sought for specific team roles, and it should also help in understanding the administrative and technical backing which the team leader and his team members require from the home institution and the external assistance agency.

The host national leaders who are responsible for the administration as well as the political support for the new institution also need to see the institution building process in proper perspective. They need to understand more clearly why various steps are proposed by outsiders and how these suggestions may fit with their own views and responsibilities. In this sense, the manual should be helpful to them in realizing a greater efficiency from the team's presence.

Finally, the actual members of the team should find the manual very helpful in understanding the entire process of institution building in

which they are engaged and thus enable them to better understand their particular role in it.

### SCOPE

The scope of the book must necessarily be limited to manageable proportions. There are certain assumptions which must be made by the team leader if he is to make most efficient use of his resources, and this manual begins from that particular point.

The team leader must assume, for example, that a decision has already been made that the particular institution which his team is asked to support is a high priority need for the host country. He should not deem it necessary to begin his task by re-examining the basic needs of the nation and re-assessing her institutional requirements. By the time the team leader has been identified as project manager, he can rest assured that this task will already have been performed by the host country leaders and by the External Assistance Agency. It will also be assumed that the services or products envisioned as the outputs of the host institution are among the high priority needs of the nation. There is no intention here of precluding the team leader from re-examining from time to time the institution's goals and its relevance to the nation's high priority needs. This must necessarily be done to ensure the institution's continued support and to maintain proper perspective and institutional relevance. On the other hand, it is reasonable to assume that the project was initiated for a well considered purpose and this purpose should not be lightly laid aside by the newly arriving team leader.

It is hoped that the manual will be widely useful in such diverse fields as agriculture, education, public administration, population and

others. The basic processes and strategies of institution building are essentially the same in all fields, and, therefore, the material is presented in anticipation that it will be generally useful. An attempt is also made to use language that is common to many fields rather than utilize the jargon of a specific area. While this tends to make the writing less colorful, it is hoped that the results will be more widely useful.

#### PLAN FOR THE MANUAL

The complexities of the team leader's role in the effective use of external resources in institution building suggest that a careful step-by-step preparation for this exacting and exciting task would be very rewarding. This manual is designed to lead him through these steps in a logical order.

The first step is to scan the task itself, to identify its dimensions, its constraints and its complexities. This is done in Chapter II.

The next step is to identify and understand some of the tools available to the team leader for carrying out his task. These are some basic concepts drawn from experience that are proving to be very useful. It may be premature to call them theory, but they give clarity to understanding the institution-building process. They provide, at the very least, the best map yet for working in the maze of divergent segments, groups, communications network and other complexities of the team leaders world. These concepts are given in Chapter III.

The general strategies for applying these basic concepts that have been tried and found useful over the past fifteen years constitute the next step. Special attention is given to these strategies and the potential and limitations of external assistance in institution building in Chapter IV.

The next step is to look in detail at each of the four major segments of the team leaders world - the host segment, the technical assistance team, the home institution and the external assistance agency. This is done in Chapters V-IX.

The last step consists of pulling all parts together into a single operational role in Chapter XII. This will bring the multi-dimensional role of the team leader into focus, and suggestions are made about how he may prepare himself further for performing it effectively and with personal satisfaction.

## CHAPTER II - THE TEAM LEADER'S WORLD OF WORK

### The Team Leader's World

The Host Segment

The Team Segment

The External Assistance Agency Segment

The Home Organization Segment

### Communications Across Cultures

The Network

Cross-cultural communication

## CHAPTER II - THE TEAM LEADER'S WORLD OF WORK

The decision to build a new institution or to reform an existing one is basically taken by the leadership of the host institution or by government agencies responsible for the institution. Such a decision is normally accompanied by a set of hopes and expectations for the institution's new character and potential. If the decision makers invite an external agency to assist in building the institution by bringing in a technical assistance team, and both the agency that provides the funds and the one that provides the team have their own expectations of how the institution will develop, the team leader finds himself engaged in a responsibility of institution building in which he attempts to respond to the hopes, aspirations and legal demands of all of the agencies involved.

This chapter will describe the team leader's world of work, with its major constituent parts and how the parts relate to make up the whole.

Ideally the parts would fit together neatly, with different agencies perceiving the same needs and expecting from the team leader the same things, by and large. All could then know exactly what his role is, and the contributions from the various agencies would fit together like sets of interlocking gear wheels transmitting steady movement for a common purpose. This is of course not the case at all. The pieces fit together loosely at best, and often only very imprecisely, because the needs, perceptions and goals of the different groups differ greatly. Their particular cultural backgrounds, for instance, amount to seeing the world through a different pair of glasses. But the core of differences lies deeper still. Technical assistance and institution building must be innovative, essentially, but innovation would be impossible if gears

meshed altogether too smoothly. Innovators are opposed by traditionalists; institutions organized for one purpose feel threatened when asked to shift to another. Programs of low effectiveness and efficiency attract prescriptions for remedial action which vary with the background and self interest of different prescribers.

Thus, the team leader may very well feel that he is the principle actor in a play which has several directors, and it will require considerable skill for him to satisfy each director and at the same time produce a performance that is fully effective for the audience. It is a classical maxim in administrative theory that an administrator, to be held responsible for accomplishing a stated objective, needs the resources necessary to do the job and the authority that accompanies his responsibility. How then is the team leader to achieve the objectives outlined for him when the resources over which he has control are only large enough to be catalytic within the host institution, and his authority lies largely in the persuasion of his technical and administrative skills?

#### THE TEAM LEADERS WORLD

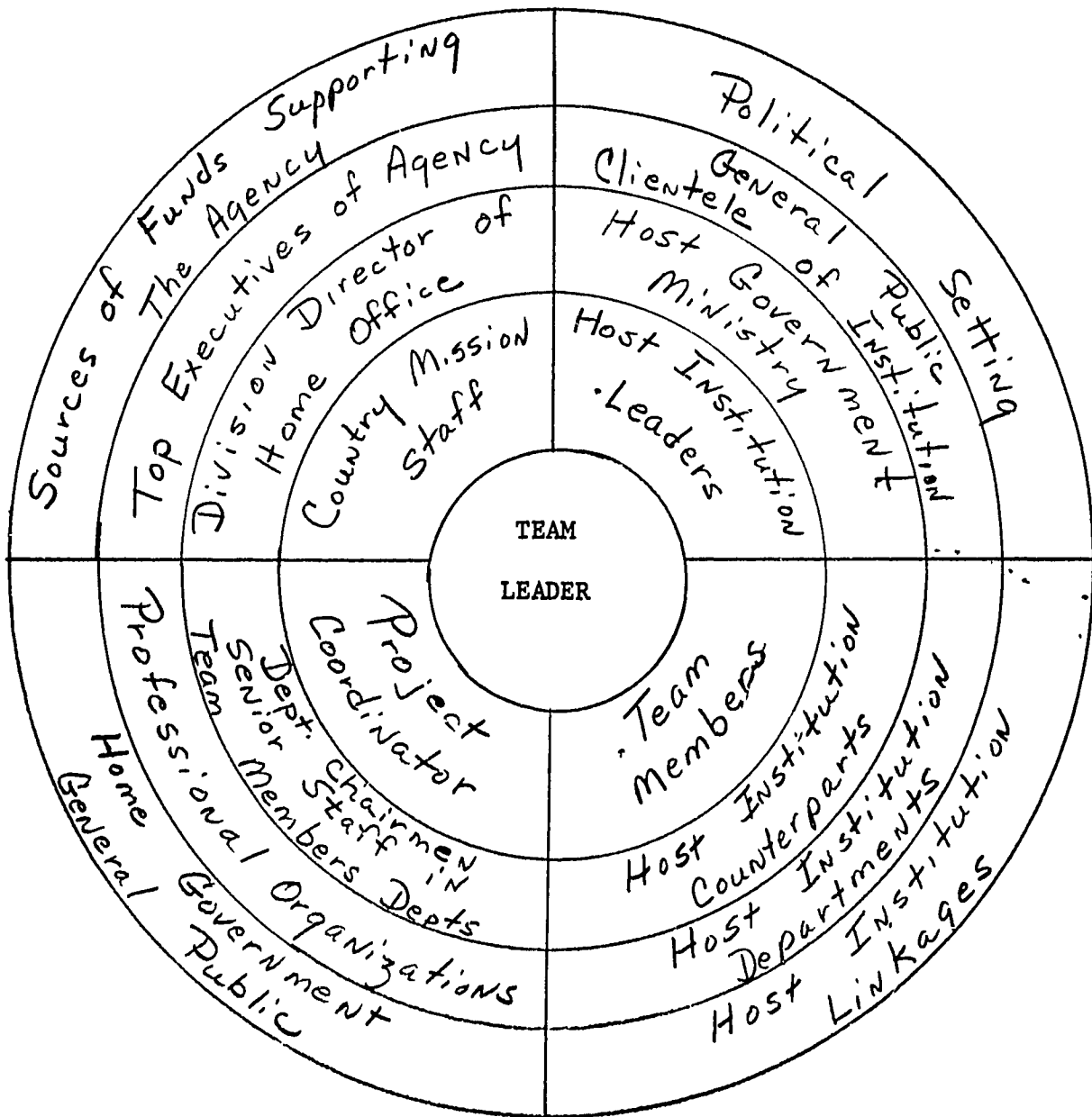
The world of the team leader can be illustrated by the diagram in Figure 1. This shows him at the center of his universe as though we were looking up at a clear night sky. Around him are numerous institutions, organizations, political leaders and administrators, layers upon layers of them, in fact. The closer ones are more insistent than those further away, but they may not be the more influential. Funds for the project, for instance, are increased or reduced by powerful groups on the periphery of the diagram. The concentric circles are divided into four major segments corresponding to the host government, the team in the field,

the external assistance agency, and the home organization. These are the four major constituents of the team leader's world. Each is party to the same project and they have connections with each other independent of the team leader in addition to those they have with him. So they form four separate entities, but together they envelope the team leader and govern his activities.

The size of each segment bears no relation to its relative importance; in fact, the relative importance of segments varies between projects and also over time in the same project. The composition of each of the segments varies too, in detail, depending, for instance, on the kind of external assistance agency involved and the administrative location of the host institution. To profit most from this view of his world of work, each team leader needs, therefore, to insert into this generalized diagram the details of his particular project; in short, not just to look at it as a spectacle but to use it as an administrative tool.

EXTERNAL  
ASSISTANCE  
AGENCY  
Segment

HOST  
Segment



HOME  
INSTITUTION  
Segment

TEAM  
Segment

FIGURE 1. The World of the Team Leader

The Host Segment

The team leader's immediate official counterparts will be members of a group of institutional leaders with whom he has close official and operational dealings. The diagram suggests, however, that the counterpart officials in turn have direct responsibility to higher authority within their own governmental structure. Beyond the immediate counterparts is the Ministry to which the host institution must answer. The organization with which the team leader is to work may be an office or a directorate in the Ministry, or it may be a university geographically remote from the capital; but in any event, the Ministry and the Minister himself wield important decision making powers which affect the team leader's world. The project with which the team is associated was very likely approved at one time or another by the Ministerial level, and while the team leader may see the Minister only on rare occasions, if at all, he must be aware that his own counterparts take their cues from their own superiors at Ministerial levels.

The administration in less developed countries is usually highly centralized and, therefore, the team leader may find that his counterpart is reluctant to make significant decisions without referring them to the highest levels in the Ministry. Thus, the team leader must be aware that, although the linkages between his project and the Minister may not be highly visible, they are none-the-less of very great significance. Even in the case of a university which may call itself "autonomous," there is heavy dependence on government officials for financial support and political backing.

Quite likely the minister and his staff also are influenced by other

foreign advisors. These may be technical personnel from donor agencies of other governments or of international organizations. Coordinative arrangements among the various donors may be such that the team leader has a channel through which he can correlate his own advisory views with those of other advisors, but there are many situations in which this is not possible. In any event, the team leader must be aware that he and his counterpart officials have no monopoly on the Minister's ear.

Within the host government, there may be other Ministries which see themselves threatened or otherwise adversely affected by the project of which the team leader is a part. The team leader should try to understand the interplay of political forces within the cabinet and surrounding it in order to be able to better assess the relative importance of his project to the host government.

Beyond the host government is the political setting in which it operates. There may be several state legislatures, several major political parties, labor unions, professional groups and other special interest groups in society to which the government must respond in a responsible manner. The team leader who expects the host government to adopt simple logical lines of action without due regard for the political consequences among all these groups is inviting frustration in his own task.

#### The Team Segment

The team leader is directly responsible for his team members, their welfare, their professional performance, and especially their overall contribution to the institution building process. They, in turn, deal directly with a large number of their own counterparts who are persons with technical and operational responsibilities within the host institution.

The team leader's contact with much of the operation of the project is through the team members. It is from them and their observations and experiences that he gets information that helps him assess the immediate effectiveness of the project within its institutional setting and the technical assistance strategies being followed.

The team member's counterparts may collectively represent various different departments within the institution, and these in turn have responsibilities for forging effective relationships with external agencies and policies.

#### The External Assistance Agency Segment

The external assistance agency normally will have participated extensively in arriving at the decision to fund the project, and, therefore, it will have a broad perspective on the rationale which was considered in arriving at that decision and on the expectations which are held for the project. The external assistance agency typically will have an administrative unit within the country. The professional members of this Country Mission staff will also have broad perspective on the overall development plans for the country and the particular role which this host institution is designed to fill. Therefore, the team leader will find it very useful to solicit guidance and counsel from this source.

The external assistance agency is the supplier of the funds which support the team in its institution building efforts and the agency will therefore expect to have a strong voice in how their funds are used. It is an administrative fact of life that influence follows funding; i.e., "money talks."

It is important for the team leader to remind himself frequently

that his project came into being because of the recommendation of the top administrator of the Country Mission, and therefore, he can assume that the Director of the Country Mission is extremely interested in the project's success. He is a powerful and an interested ally in the prosecution of the project.

The top executive for the external assistance agency's Country Mission group often has close contact at the Ministerial level within the host country. This places him in a position of considerable influence with respect to generation of resources and support, and the team leader will find that information and support at this level is extremely useful. The external assistance agency has many projects scattered across political and cultural boundaries. They have experience, therefore, in the application of technical assistance that far exceeds that of a single team leader. The combined experience of the Country Mission and the home office personnel of the external assistance agency represent a resource that the team leader cannot afford to ignore. He would be well advised to regard their suggestions and counsel in this light rather than to resent them as intrusions on his prerogatives.

#### The Home Segment

The home segment is usually the team leader's permanent base - the institution where he is permanently employed, like a university, a health agency or a consulting firm. The home institution contracted for the institution building project abroad and chose him to lead it. Usually the other team members are also from this institution or at least attached to it for the duration of the project. Some external assistance agencies

make up teams out of their own staffs and so are also home base for the team leader and team members; the UN Agencies and the World Bank provide many examples of this joint arrangement. Where teams are made up of people specially pulled together for this one project the home sector may be so diffuse as to have virtually no organized influence. Some Foundation and UN Agency teams are like that.

The home agency usually has a single person designated as the primary contact and the backstop officer for the project. This person can be expected to have the interest of the field personnel at heart and to have special interest in the project's success. However, he is directly responsible to others within the home agency and all of his activities must reflect basic policies which have been established for the administration and management of the project overseas. Such policies must necessarily take cognizance of the other projects and activities of the home institution. Furthermore, the home institution is bound by a contract or memorandum of agreement under which it operates and which imposes limits and constraints on the type of activity in which it can engage.

The home agency does not speak with one voice in that there are various segments of the home institution which supply resources, personnel and technical guidance, and each of them may have its own reasons either for enthusiastic or reluctant participation in the project. At the same time the team leader has responsibility for his home institution's image in the host country abroad. He is expected to portray it well.

The team leader's world then is composed of at least four major segments: each has its own hierarchy, its own set of expectations, goals and purposes, and distinct clienteles to which it answers. Moreover the various segments and groups have direct contact with each other. The team leader could not possibly be a party to all of these contacts, but he must know that they go on and he would be well advised to be informed of them and to understand their implications for the project as a whole. If the team leader regards these constituencies of his as interferences and stumbling blocks he is beaten from the start. They are all interested in the success of the project - that is why they took it on; although they operate under different sets of constraints. It is the team leader's task to mobilize them as powerful allies and contributors and to orchestrate and manage their parts in the institution building project into a coherent and well-focused flow.

#### COMMUNICATIONS ACROSS CULTURES

Complex as his world of work already is in terms of its structure - four major segments and many subdivisions - the team leader will find that the processes of working there add further complexities. Distance, of course, adds complexity; so do national frontiers. Communications between the team leader and his home agency will necessarily be sparse, and being sparse will tend to formality. Probably least familiar to the team leader will be the communications network within which he will operate and the cross-cultural character of most of the communications.

The nature of the four major segments in the team leader's world precludes the establishment of the familiar "chain of command" type of administrative structure within which the team leader can operate.

Institution-building is itself more a matter of cooperation and coordination than of command, and the contributions from outside agencies is even more so. The effectiveness of external inputs from technical assistance depends heavily on the cooperative manner in which they were conceived and the coordinative skill with which they are administered. The team leader will quickly find that effective communication is the key to successful administration in this unusual administrative structure.

### The Network

A quick glance at Figure 2 will indicate the type of communication network in which the team leader is involved. He is almost entirely surrounded by the host institution, its personnel, its language, its social customs. The host government may receive some small volume of direct communication from the team leader, but it will receive its most influential communication from host institution persons.

The home institution and the external assistance agency are separated by great distance from the team leader and communication by mail or phone is slow and difficult at best. Furthermore, each of these organizations receives additional communication from their other personnel in the host country, and both the quantity and the quality of the communications transmitted by the team leader are subject to interpretation in light of other signals coming in over the network.

The management challenge to the team leader is to make the most effective positive use of this network rather than to allow it to become counterproductive to the technical assistance effort.

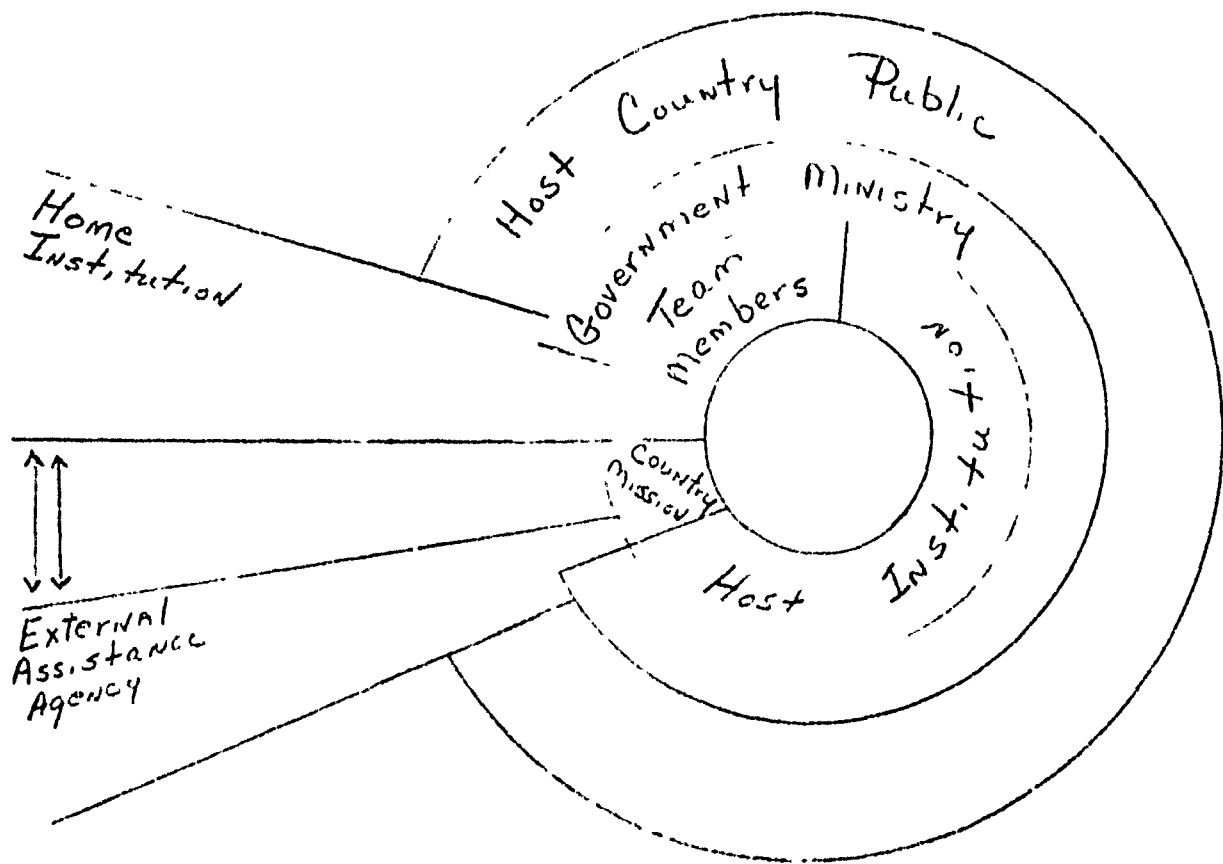


FIGURE 2. The Team Leader's Communication World

Cross-Cultural Communication

The extra complexity of working in a second language is an obvious and serious difficulty. The team leader and/or his host counterparts are in constant danger from inaccurate translation and misunderstanding. In addition to the complexities of the spoken word in a foreign language there are the complexities of the "silent language" of gestures, customs and mannerisms. The team leader can gain some comfort from knowing that many of these complexities are identified and expected.

Great as the language differences are, they become slight when compared with the complexities that are embedded in major differences between cultures. The literature on cross-cultural differences is voluminous and uneven in quality, but the team leader would do well to consult up-to-date country reports and other sources for good reading on his specific host country. Meanwhile, the following items will illustrate some common areas of difference which particularly affect institution-building. They are presented here as opposites in order to emphasize the point; although in real life they appear in many gradations and combinations.

Goals: Harmony  $\longleftrightarrow$  Action. The team leader is usually eager for "results," to "get the job done" which he came to do. His hosts may be no less eager, but his eagerness is focused on safeguarding important relationships and maintaining maximum harmony in the face of incisive changes in his country as it develops.

Loyalties: Personal  $\longleftrightarrow$  Institutional. Much of the team leader's thinking may be habitually impersonal as he works with the new institution, reports to his home agency or visualizes next steps to take. His hosts are

more accustomed to thinking about persons, or facilitating action through blood relatives or community members

Procedure.    Confrontation  $\longleftrightarrow$  Intermediary. The team leader is inclined to take action directly with the people responsible for reaching a required decision. His hosts are often more used to working through intermediaries who "know the right person "

Time: Pressure and precision  $\longleftrightarrow$  Acceptance and Adjustment. Time and timing is a very common area of difficulty. The team leader often pushes for speedy action and precise agreements when his hosts are used to a slower pace and to adjusting time priorities to emerging needs

Cultural differences of this kind are deep and pervasive, and too elusive and sensitive to be questioned early or openly. Part of the difficulty is the very fact that for each culture the particular trait or tendency is normal and any attempt to change the cultural style is met with resistance. The elusiveness and sensitivity of cultural traits tend to be heightened in countries which are newly independent and are crucially engaged in forming distinct, national identities. These are countries in which institution-building becomes an even more important part in economic development

## CHAPTER III - BASIC CONCEPTS OF INSTITUTION BUILDING

Definition of "Institution" and "Institution Building"

Institution Building Model

Institutional Variables

- Leadership
- Doctrine
- Program
- Resources
- Internal Structure

Linkage Variables

- Enabling Linkages
- Functional Linkages
- Normative Linkages
- Diffuse Linkages

Transactions

### CHAPTER III - BASIC CONCEPTS OF INSTITUTION BUILDING

The team leader who has administrative responsibility for an institution building project could well begin by asking:

What is an institution? How does it differ from an organization? What does it consist of besides buildings, labs, and other physical features? What are the really important characteristics that are needed by an institution in order for it to serve society most efficiently? This chapter describes the essential features of an institution in terms that are useful in forming a new institution or in remodelling an existing one to accomplish new purposes. Chapter IV reviews strategies that are useful in building or altering the various components and attributes of the institution.

#### DEFINITION OF "INSTITUTION" AND "INSTITUTION BUILDING"

It is helpful for the team leader to draw a distinction at the outset between an organization and an institution.

An institution is here defined as an organization that has a specified new role or function to play in society. An institution has a dynamic quality for introducing change and for sustaining that innovation until it becomes embedded in society. A Public Administration Institute, for example, becomes an "institution" as it introduces modern concepts into its training materials and begins to affect the administrative style and effectiveness of various public agencies. An Agricultural University becomes an "institution" when it provides education, training and research that is capable of creating a "green revolution" in a traditional agricultural society. In either case an organization may already exist, but only as that organization takes on certain specified qualities and as

it begins to have an influence in society is it called an institution. This distinction is equally applicable to an entire organization or to a sub-section or department within the larger unit.

This concept of an institution is admittedly restricted from the broader use of the term in the behavioral sciences. However, the narrower use has found its way into recent research on "institution building" and has proven to be powerful and very helpful. Therefore, this manual will use the terms "institution" and "institution building" in the narrower sense.

Institution building is defined for our purposes as a process of developing a new organization or reconstructing an existing one in a manner that will give it the dynamic qualities and capability for affecting society in certain specified ways. The "institution" that is built must have certain features if it is to be something other than "Just another organization." It must be able to provide an innovative thrust in contrast to simply protecting and propagating traditions. It must be able to survive and acquire operational resources from the society it seeks to assist and change. If it must relinquish its innovative capacity in order to survive then the purpose for which it was built is no longer served.

Developing nations recognize that the development process involves the introduction of innovative changes that are deliberately planned and engineered. These changes seldom persist on a wide scale unless they are introduced and supported by formal organizations. Therefore, when public leaders of a society decide to create a new organization or to remodel an old one, they usually do so in the expectation that the new

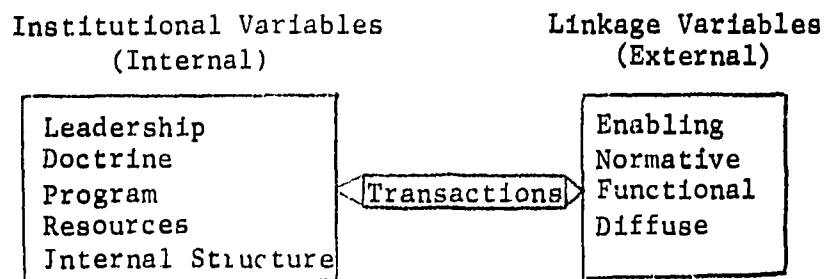
organization will be capable of introducing and sustaining a particular type of innovation in the society.

The institution building task of the team leader is to contribute to and accelerate the formation of an organization that fulfills these expectations.

### INSTITUTION BUILDING MODEL

The human anatomy is best understood by looking at the various interlocking systems, such as the circulatory, nervous, skeletal, etc. Similarly, an institution is best understood by looking at its systems, the way they affect each other and the manner in which they interact with the environment. An institutional model is presented here which facilitates the understanding of the essential systems that must be affected in institution building.

The major features of the Institution Building Model are shown in the following diagram.



Two major categories or systems are identified in the diagram - Institutional variables and Linkage variables. The Institutional variables are the internal characteristics of the organization itself. They are called "variables" because they vary - they are susceptible of being altered. These are the institutional characteristics on which

the team leader may exert influence.

The Linkage variables represent the environment in which the organization exists. Every organization is engaged in a network of relationships with other organizations. Each is interdependent on the other for exchange of goods and services, for complimentary services to society, for common support and overcoming resistance. Each may exert influences and effect changes in the other organizations with which it interacts. This network of inter-organizational relationships, plus the interrelationship between an institution and the general public are designated as "linkages" in institution building terminology.

This is an area which is vital to the institution's survival and prosperity, as well as to its success in introducing important changes into the society that supports it. The linkage variables will affect many of the activities of the organization by either facilitating, distorting or restricting its development. The linkage variables may in turn be changed by the organization. In fact, part of the criteria for identifying it as an "institution" involves its influence on the linkages.

The two groups of variables interact with each other in a myriad of "Transactions." The quantity and quality of transactions is an index of the dynamic character of the institution and the impact it is having on society. The actions and activities of the technical assistance team may be thought of as part of the transactions.

The institution-building model will be used throughout the manual and, therefore, it will be useful to define and illustrate each of the

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institutional and linkage variables in sufficient detail to make them a part of the team leader's working vocabulary.

#### INSTITUTIONAL VARIABLES

##### Leadership

Leadership includes all those persons who exercise a management or decision making role. For example, in a university, leadership includes the Dean and the Heads of Departments as well as the Rector. It may also include certain professors or other members of the staff. In addition to the formal leaders who have authority by virtue of their positions and titles, there are always informal leaders who exert influence because of their age, reputation, experience, or the sheer vigor or competence of their activity. The "power structure" may even include persons who do not belong to the institution but who are none-the-less important in establishing policy and institutional practice.

Leadership in complex organizations is usually a collective process in which various roles - such as external political contacts, internal management, and program development - are divided among the members of a leadership group. In many cases, however, one man is the dominant personality and if he has innovative commitments, organizational capability and political skills, the enterprise is well-equipped with a very precious resource. Such a leader should be able to induce the key staff members to identify their own interests with the welfare of the organization and the innovations it represents. Where these qualities are not present in the top man, it may be possible to compensate for them

among other members of the leadership cadre. Where this is not possible, there is a built-in ceiling on the prospects of the institution and on the innovative character which it may assume.

In many cultures, loyalties are given to the leaders of the institutions rather than to the institution itself. As a consequence, the status of the institution rises and falls with its leadership. The more modern concepts of institution building are concerned with formation of an institution that has a life and character of its own, an institution which is recognized as a worthy entity regardless of its current leadership.

Leadership is perhaps the most important institutional variable. An organization without leadership may be out of control. Unless the leadership is committed to innovation and is technically and politically competent both for its internal and external responsibilities, the enterprise may be in trouble even though its opportunities are otherwise favorable.

#### Doctrine

Doctrine is the most elusive of the institutional variables, yet it is the banner which attracts public attention and which elicits loyalty and support. It is an expression of what the institution stands for, what it hopes to achieve, and the styles of action it intends to use. It is expressed in both written and oral form. Doctrine is not necessarily a single concept, but rather a group of themes which are projected by the leadership to its internal and external audiences in order to gain and maintain understanding and support for the institution.

and its purposes. It can be expressed differently to different audiences; e g , the expression of institutional doctrine may be different for a group of alumni than for the members of a legislative body. The former may view a university in terms of their employment prospects, while the latter will be more interested in its role in national development plans. Doctrine is more than just a listing of goals or a statement of purposes, although an institution with a doctrine will have goals and purposes clearly in mind.

Examples of doctrine in the university world might be such notions as a commitment to the services of the local community. Some universities are concerned primarily with scholarship for its own sake. One Ministry may have a doctrine of loyalty to the minister as a man or as a person. Another Ministry may have a doctrine of loyalty to its clientele - the people it serves. Doctrine for a tax collection agency may be the efficient and uniform application of tax laws without favoritism. A family planning unit may adopt a doctrine of making control of family size an integral part of the management of family resource.

An institution must have doctrine that is clear and consistent and that is understood among its personnel. Doctrine helps the personnel of an institution to communicate with each other, to develop a strong sense of common purpose, and to set standards and priorities. This increases their satisfaction and the effectiveness of the institution in dealing with the outside world. The image of the institution is established by its doctrine as much as anything else. Doctrine sets the tone for the way people think about the institution, and it can be critical in the survival, growth and development of the institution.

An institution's doctrine will perhaps be the best indicator of the likelihood that the institution will satisfy the aspirations and expectations of those leaders who placed it high among the priorities for national development

#### Program

The program of an institution is the sum total of its activities. This variable has been called "the doctrine translated into action." It is the set of activities by which the institution converts its resources into the products - goods and services - required by society. Program becomes the means by which the institution's objectives are realized.

The program of a Ministry of Education is the operation of the primary and secondary schools. A Public Health Institute might have the dominant part of its program oriented to family planning. Each institution will have its own program reflecting the influence of its leadership and its doctrine.

Program consists of over-all institutional plans as well as the part which is put into immediate operation.

#### Resources

The resources of an institution cover a wide variety of items. They include the obvious things such as operating funds and physical facilities. They include trained personnel as well as unskilled labor. They include professional knowledge and skills in modern technology as well as library facilities. Resources even include legal authority and political support. All together, these items represent the resources the institution has at its command to convert into those items the nation

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needs for its social and economic development.

The availability of adequate resources does not guarantee outstanding institutional performance. But the unavailability of necessary resources is certain to limit the institution's usefulness. The wise and imaginative use of available resources tends to increase their flow. Thus the institution's leadership, its doctrine and its program profoundly affect the abundance of its resources. Resources in turn greatly affect an institution's capacity to retain good leadership and to implement appropriate programs.

#### Internal Structure

The internal structure of an institution includes the formal and informal patterns of authority, the division of labor among the component parts, the flow of work and the channels of communication. Internal structure is typically represented by an organizational chart, but it is more than that. It includes a pattern for resolving differences and disputes that inevitably break out over policies, priorities and resource allocations. Internal structure provides channels through which ideas can move quickly up or down in the organization and receive appropriate consideration at each level.

Good internal structure facilitates effective management, but poor internal structure can thwart the efforts of even the best leaders. Internal structure can insulate personnel or segments of the institution from undesirable political influences, but it can also prevent leadership from making needed changes. Therefore, it is important to remember that internal structure is a variable, and it can be altered if there is sufficient need.

## LINKAGE VARIABLES

The linkage variables have been separated into four categories since each has a distinctive influence on the institution and must be thought of in a different way. The strategies for cultivating and reinforcing the linkages in the four categories vary considerably, and this adds to the value of this particular classification. The labels for the categories may be unfamiliar to those outside the behavioral sciences, but they are retained here because they are gaining acceptance in the literature.

### Enabling Linkages

The enabling linkage variables are those elements in the environment which provide the institution with legal authority to operate and which give it access to essential resources. This includes legislative acts which authorize the institution's existence and provide for its support from public funds. An important linkage element here is the relationship between the institution and those persons in authority who influence the legal status of the organization.

Enabling linkages are needed to protect the organization against attack and to guarantee its access to resources during the critical period when it is developing its capabilities but is not yet strong enough to deal with its external environment on its own terms. Enabling linkages are also needed to define or extend the institution's area of responsibility within society. For example, they help establish an agricultural university's role in national research. This is important as it attempts to introduce innovative changes. Other organizations or institutions

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may resist these changes, and they can do so most effectively if the institution can be successfully challenged on legal grounds. Therefore, when a Ministry assigns a role to an institution it provides an enabling linkage

#### Functional Linkages

The functional linkage variables are those elements in society on which the institution depends for its operation and for its contribution to society. A university depends on the secondary schools for its supply of raw material, and it depends on government agencies and private business to employ its graduates. The university functions well or poorly because of its complementary relations with both groups.

Functional linkages include those entities which supply the things an institution needs to operate - students, data, technology, training for personnel, complementary technical services, etc. They also include those entities which require the product of the institution - graduates, training courses, technology, information, services, books, etc. This is the category of linkages that determines the institution's impact on society.

The functional linkages can be competitive as well as complementary. For example, the secondary schools may wish to give some vocational training to their students and place them in employment positions which are normally occupied by university graduates. These interactions with the functions of the university could be distracting rather than helpful.

Functional linkages are formed with a wide network of public and private agencies. Many of these are helped by the innovative impact

of the new institution. They get better people, better services, better information or better products. Many other agencies find the new institution to be a threat to their prestige, their prerogatives or their very existence. Therefore, the functional linkages must be clearly perceived and properly cultivated if the institution is to prosper.

#### Normative Linkages

The normative linkage variables in an institution's environment are those elements that establish standards, that dictate norms, that protect and propagate society's values. A common example is the influence of religious organizations on family planning institutions. Other organizations that influence the norms by which institutions are constrained are professional associations and government itself.

Normative linkages are not always operative through specific organizations or agencies. They may derive from beliefs, customs, practices that prevail generally in a society. Imagine the influence of a Hindu society on a beef research institute, for example. Other illustrations of normative linkages in society in general include reactions to racial origin or caste, the influence of astrology on institutional programs, or the preference for socialist principles.

In listing normative linkages as variables there is the implication that these norms are not immutable. There are, however, grave consequences implied in attempting to alter some of them, and such action should be undertaken with care.

#### Diffuse Linkages

The diffuse linkage variables include those elements in the general public that are not easily categorized. They represent individuals or

groups that are not formally or directly related to the institution. The Parents of students form diffuse linkages with a secondary school. Farmers in general interact with a supervised credit agency. The present and future clientele of an institution form the diffuse linkages.

The diffuse linkage elements tend to form the "grass roots" political support for an institution. In the longrun they may be the ones who pay for the institution's support and who profit from the institution's activities. Therefore, the diffuse linkages are quite important to institutional development.

#### TRANSACTIONS

The influences that the environment have on the institutional variables are labeled "transactions." And the reverse flow of influence by the institution on its linkage variables also called "transactions." This is the set of phenomena that are subject to strategies, tactics and long-range plans in institution building. This is the door through which external assistance enters the arena and exerts its influences on both the institutional variables and the linkage variables.

The conversion of the static institution-building model into a dynamic organism is achieved by energizing the transactions. This becomes the subject of the next chapter on Implementation of Basic Concepts.

## **CHAPTER IV - IMPLEMENTATION OF BASIC CONCEPTS**

### **Institutional Variables**

- Leadership**
- Doctrine**
- Program**
- Resources**
- Internal Structure**

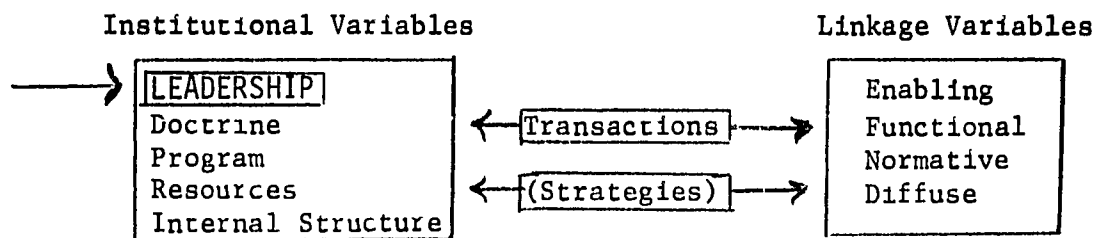
### **Linkage Variables**

- Enabling Linkages**
- Functional Linkages**
- Normative Linkages**
- Diffuse Linkages**

## CHAPTER IV - IMPLEMENTATION OF BASIC CONCEPTS

The basic concepts of institution building were presented in Chapter III in the form of a model which showed the various systems or "variables" that comprise the anatomy of an institution. The model also describes the environmental systems that interact with the institutional variables. In this chapter the same model will be used to outline strategies that have proven to be useful in building institutions with certain desirable qualities.

### INSTITUTIONAL VARIABLES



Competent, dedicated and unselfish leadership is a prime requirement for success, but it is also a very scarce commodity in any culture. Normally, at least one or two persons in the leadership group of the institution will have many of these qualities. They may, however, lack training in the modern technology required to give the institution its capability for having an impact on society. Therefore, leadership qualities must be sought among a wide variety of institutional personnel and these persons must be continually exposed to the new institutional doctrine and policy issues. The innovativeness which is expected from the new institution will most likely come from new leadership that is carefully chosen, trained and eventually placed in positions of influence. Frequently, the eventual leaders will not be found already in place at

the beginning of the project. Moreover, the doctrine or style required of the new leadership will be different from that of the older leaders. Hence specific plans must be laid for development and training of future leaders

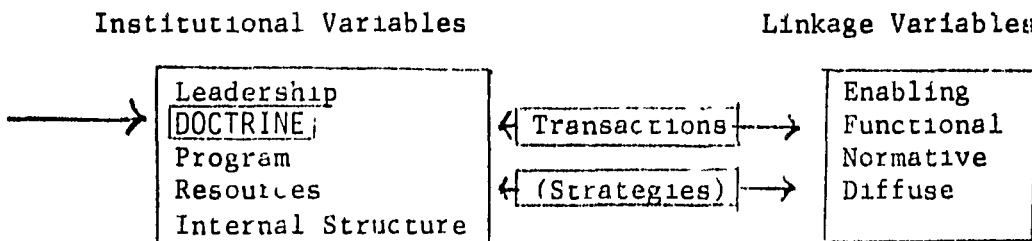
All of the strategies for transforming the organization must take into account the quality of leadership that is available to the institution. Certain questions should be posed in the very beginning with respect to leadership since the answers to these questions will determine the nature of the assistance required from the technical assistance team. For example:

1. How fragile or how well entrenched is the leadership politically? technically?
2. How deep is the leadership structure - one man or several?
3. How intimate and influential is leadership among the real "power structure?"
4. How bold and imaginative is the leadership in stimulating and rewarding performance?
5. How committed is the leadership to the innovative goals of the institution?
6. How skillful is the leadership in linking the institution to other public and private agencies so as to enhance its usefulness and its success?
7. If the leadership pattern is not developing at a satisfactory rate, what strategies are indicated for the project?

These questions are likely to be embarrassing or awkward to pose and the answers will be subjective, politically sensitive and perhaps

highly protective of key people. It is worth considerable effort, however, to know the answers to these questions even if they must be inferred from a variety of indirect approaches.

The answers to the above and similar questions will dictate the strategies that should be adopted by technical assistance efforts in strengthening the leadership of the institution. It will be very important, however, to recognize both the potentialities and the limitations in what can be accomplished from outside resources and influence on leadership as well as on the other institutional characteristics. The matter of leadership is a very delicate one and the strategy for strengthening this aspect of the institution must be weighed from every conceivable angle to be sure that efforts exerted here are not counter-productive to the team leader's activities in the other aspects of institution building. A section in Chapter VI will deal in more detail with the aspects of institution building which are most susceptible to external inputs. The team leader is forewarned here, however, not to expect to be able to influence all institutional variables immediately. There are other aspects of the institution building process that are available for influence even if the leadership category is temporarily stymied



The articulation of doctrine for an institution is the first order

of business, since it sets the stage for the rest of the planning operation. Doctrine specifies institutional goals and operational style. The elaboration, expression and manipulation of doctrine is an important responsibility of those who are guiding institution building activities. It is a phase of institutional management to which time, thought and effort must be invested. And it is a variable in the institution that deserves carefully designed strategies by the team leader. Failure to deal with doctrine means that the organization will lack a common set of purposes. Its image in the environment may be ambiguous and lack credibility. It may drift opportunistically into activities which are easy because its sense of purpose is obscure. Leadership will thus fail to use the power of ideas and symbols to guide the institution in its internal development and in interaction with its external environment.

One of the dangers encountered in providing technical assistance in institution building lies in the possibility that there will be disagreement on doctrine. Not only may there be disagreement between the team leader and the officials of the host government, but there also is a strong possibility of differences in doctrinal views among the members of the technical assistance team. To the extent that a different doctrine is expounded by various members of the technical assistance team, the total overall effectiveness in institution building will be reduced. In fact, there are a few recorded cases in which institutional progress has almost come to a standstill because of wide divergence of opinion on doctrine.

There is however, a degree of flexibility in doctrine. As stated

earlier, themes can be given different emphases for different clienteles; they may also be modified over time as the institution faces new problems and learns from experience. Thus, doctrine motivates personnel, establishes expectations about institutional performance, and helps to prepare the ground and substantiate shifts in the institution's emphasis, activities and outputs.

The team leader will wish to ask a number of questions about the doctrine which has been formulated for the institution. For example:

1. Is the new role for the institution a realistic one; i.e., is it consistent with the real needs of the country? Is it being accepted both internally and externally?

2. Is the doctrine well articulated by the institutional leaders?

3. Does the doctrine have the necessary innovative qualities that will permit the institution to effect changes in society?

4. What proportion of the administrative and professional staff understand and actively support the doctrine?

5. What are the social and political conflicts generated internally and externally by the institution's doctrine? How can these tensions be resolved if they exist?

6. What official and public support already exists for the institution's doctrine? How can this be built upon?

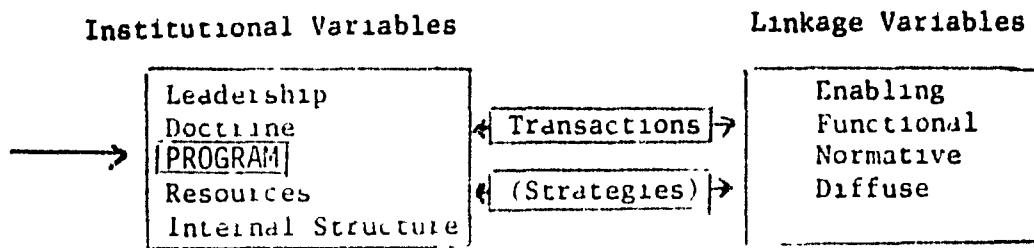
It is natural to assume that the doctrine which has been articulated for the institution corresponds very closely to the team leader's own feelings in the matter. Hopefully, he was selected for this position because he strongly subscribed to the institution's stated doctrine. It is hazardous, however, for both the team leader and the institution's

leaders to make such a tacit assumption without an overt and explicit attempt to verify this assumption at several points along the road. Communication about doctrine is difficult even where two parties are using the same language and come from the same culture. It is even more difficult to be sure that there is complete understanding on such subtle matters when words come from different languages and when concepts from different cultures carry completely different connotations.

The team leader is well advised to participate in a number of discussions and exchanges with the official leadership and with the technical staff of the institution early after his arrival to explore their mutual understanding of the institution's doctrine, the implications of that doctrine for the institution's capability to influence society, and also the implications of that doctrine for the personal and professional lives of the institution's staff. Such exchanges will serve two important purposes. They will insure that the indigenous leadership has formulated a specific doctrine for the institution, and insure that there is mutual understanding of this doctrine by the leadership of the institution and the leader of the technical assistance team.

The underlying philosophy of the institution - its doctrine - is too important to be left to chance development. Once there is reasonable consensus and mutual understanding on the basic goals, objectives and philosophy on which the institution will be developed, there is solid ground for institution building.

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The development of an institution's program involves a set of choices about how the organization will apply the resources it has available and what line of product or services it intends to provide. It is through its program of action that the technological and social innovations for which the institution stands are converted into specific products and services. It is through the program that the institution affects national development.

Programs tend to be formulated in response to legal mandates, public pressures, opportunities for additional support, or the general priorities held by the institution. Thus, the wise choice of programs will represent a delicate balance of attempting to satisfy the most urgent demands by society with the relatively meager resources that are available for the operation. Program development should not only attempt to meet the immediate needs of society for certain services or products, it will also realize that continued support from the public will only come as a result of the successful execution of programs which are already supported from public funds.

Programs are not formulated in a vacuum. One dilemma that often confronts the implementation of institutional programs is that they tend to generate opposition or competition among important groups in the environment. Therefore, effective programs must be perceived by the

clients as delivering a substantial margin of benefits to society over and above the dissatisfactions and opposition which arise in some quarters

Several questions are helpful in formulating an institution's program and in assessing its relevance and adequacy from time to time.

1. How completely has the institution developed the content of its program? Is it planned in advance rather than ad hoc? Is it well balanced?

2. How relevant is the program to the country's needs and the stage of the country's economic, social and technological development?

3. How widely is the proposed program understood by the staff? How strongly are they committed to it?

4. Is there agreement between the institution's program and its doctrine?

5. What quality and quantity of results can be produced by the intended program?

6. Does the program utilize the best technology available to the institution?

7. Is the program tailored to available resources so that it may yield important and visible results within an acceptably short time?

The strategies which the team leader may consider for building the institution's program are strongly influenced by the institution's long-range goals. If there is initial success by the institution, there will be strong pressure for it to broaden its program into certain areas which are not served by other agencies or which are served inadequately. There is also strong temptation to broaden the program into

new areas just because they seem at the moment to have strong support possibilities. It is difficult for the host institution to resist such pressures and external assistance can be very useful in holding the institution to well conceived plans.

There is a tendency for developing institutions to undertake a much larger spectrum of activities than can be accommodated by the institution's meager resources. This is usually done with a view to pre-empting as many activities for the institution's future operations as possible. Such a procedure has tended to lead, however, to a dilution of resources in any single area and a consequent mediocre or poor performance by the institution as a whole.

Initial decisions about the institution's programs or outputs are critical because they help to determine the kind of resources in staff, facilities, equipment and information sources the organization will assemble. These decisions in turn militate against rapid shifts in program content because such resources can be only partially and gradually redirected to new operating activities.

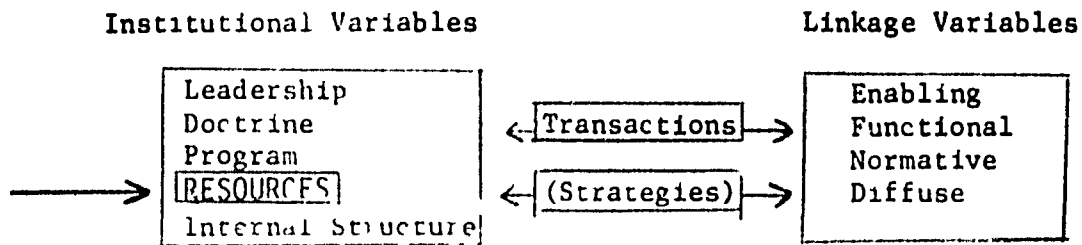
The political strategies for limiting the scope of the program to what is commensurate with current resources and for concentrating on those aspects of the programs which are of highest priority for national needs require considerable planning and careful execution. The institution cannot be innovative if its programs are seriously undersupported. At the same time, it cannot generate more support if it is not producing exciting results even with the limited resources presently at its command. The optimum balance between the quality and the breadth of the program undertaken is the heart of this dilemma. Again, the normal

strategy preferred by host nationals tends toward a broad-scale program followed by attempts to find adequate resources to support it. The experience of the last twenty years of technical assistance strongly documents that this approach courts failure from the start.

A common failing in past institution building strategies has been an assumption that society will wait patiently many years before seeing major returns on its investment. This has been particularly hazardous in countries where the political situation is unsettled and where political leadership changes frequently. An important element in program strategy, therefore, includes provision for producing early, visible results which can be used in public relations activities to generate increased support for the institution.

It cannot be over-emphasized that good publicity on the progress of the institution is required almost every month of every year to keep the public interested in the institution's overall development. This means that "critical mass" levels of input must be achieved in individual segments of the overall program one by one. That is, there must be sufficient concentration of effort and resources at one place to insure rapid take-off of that part of the program. It is not good strategy to spread the resources evenly over the entire institution and then wait for several years before any one segment is strong enough to attract public attention. This will be a very difficult decision for the leadership of the institution. They must generate and maintain enthusiasm in all departments or sections of the institution, but they cannot afford to scatter their limited resources thinly over the entire program if they are to have the visibility that is necessary to keep

the public aware of the institution's existence and its promise for society. The team leader can be an effective voice in developing this type of strategy



The responsibility of leadership is to so use the resources that maximum benefit will be derived from them, and to so manage the affairs of the institution and its linkages that resources will continue to be made available to it. In most cases unlimited resources do not exist and the institution will need to "make its case" for public support in competition with other institutions and agencies. When the benefits to the society are so great that the continuance of the institution is deemed essential, resources are generally forthcoming. In cases where the outputs are few or where these outputs have little value or meaning to the interested public, resources will probably be channeled elsewhere.

Perhaps the most important single resource in institution building is staff. The development of a properly prepared staff is both a long-term and a continuing activity and at the same time a very costly one. Staff development is a major task of leadership and possibly no single factor is more indicative of effective leadership than the way personnel resources are developed, up-graded and used.

Staff development is a continuing function of institution builders.

Personnel is seldom available in the labor market with the precise skills, knowledge, and programmatic commitments that are required for effective performance by an innovative organization. The development of appropriate skills may require long term investments. Meanwhile, inadequately skilled personnel will be performing at a modest level and on a limited range of activities despite the high expectation of important elements in the public. Nevertheless, the institution must be prepared to sacrifice some current output because it is investing in the more advanced training of its staff.

Facilities and equipment are major items of expenditure in the development budget of the institution. To maintain the status quo requires little additional funding. A commitment to change an innovating program, poses a substantial problem since it frequently requires more facilities and new equipment. There is great temptation for institutional leaders and technical assistance agencies to splurge on highly expensive sophisticated facilities that are "prestige pieces" but which neither contribute strongly to the institution's total program nor can be justified by the institution's budget - these "white elephants" are found in virtually every developing country and are monuments to poor judgement on the part of external assistance agencies. Imagine how much high priority research could be supported by the cost of installing and maintaining an electron microscope!

Information about new technologies and their potential in the environment of the institution is an indispensable resource. It must be collected, analyzed, processed, stored, retrieved, and disseminated when needed. The institution must be sensitive to changes in the environment which might represent new opportunities or potential dangers for the

institution's programs. Therefore, leadership must invest energy in establishing an information system and maintaining its informational resources at a high level of efficiency.

The old cliché that "money may not be everything but it is far ahead of anything in second place" is just as applicable in institution building as in any other activity, and leadership is responsible for insuring a reliable flow of funds. It must do so, however, without sacrificing the important innovative objectives of the institution. It cannot afford to compromise its doctrine or to dilute its program for the sake of momentary support for activities which are not consistent with the institution's major objectives. This is perhaps one of the hardest lessons to learn and to adhere to.

The team leader would be well advised to ask the following questions about the institution's resources.

1. What are the prospects for continued and increased financial support from sources inside the country? Are they commensurate with the requirements being built into the new institution or must the institution's future depend on continued external support?

2. What is the capacity of the staff to bring their full technical training to bear on the institution's outputs? Are they over-trained for the resources available? Are they too specialized for the tasks at hand?

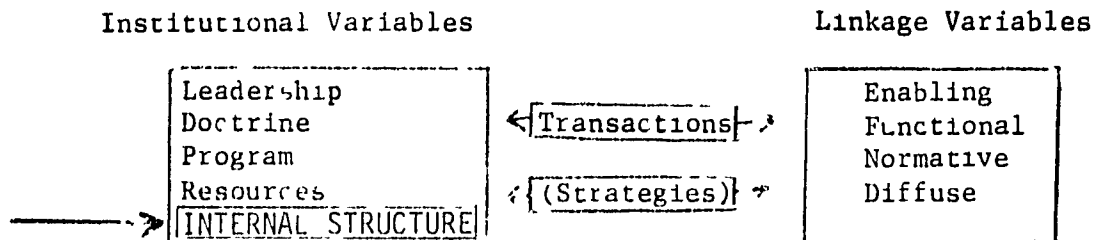
3. What provisions are developed for upgrading the capability of the existing staff and for a continuing supply of new staff?

4. What provisions are made for maximizing the use of library facilities and the scarce sophisticated equipment and laboratory

facilities within the institution?

5. What strategies are contemplated for improving all categories of resources for the institution?

The team leader will need to consider not only what strategies are appropriate for the leadership of the institution to undertake in improving its resources, but also he will need to give careful consideration to the relationship between external resources and those that are generated from local support.



The internal structure is the vehicle through which institutional management is performed. The existing structure perhaps emerged as a compromise between institutional needs and personal desires. It is likely to be protective of the "power structure" that installed it. It undoubtedly served many useful purposes over time. However, if the internal structure was not formed specifically to serve the present institutional doctrine, program and resources, then it should be carefully re-examined. Internal structure is an institutional variable, and it should vary over time in a manner that will serve the other variables most efficiently.

Many organizational patterns derive from local custom or from norms prescribed by higher units of government. These may seem odd to the newly arrived team leader who is unfamiliar with the local environment.

The team leader may feel a strong temptation to suggest radical organizational changes soon after his arrival. His thoughts should be strongly guided however by the principle that the primary purpose of organizational structure is to facilitate the productivity of individual staff members. He should answer the following questions either formally or informally before proposing serious changes in organizational structure:

1. Are there serious deficiencies in the organizational structure, or are most of the difficulties traceable to personnel weaknesses and conflicts which no amount of reorganization will cure?
2. Has the institution been over-organized to the point of having "all chiefs and no workers?"
3. Does the organization facilitate the guidance and leadership functions of management as well as the usual control functions?
4. Does the organization provide incentive for good service and a sense of cohesion and loyalty among the staff?
5. Does the organization strike an appropriate balance between a sufficient "centralization of authority to provide leverage for change," and a sufficient decentralization to encourage middle-management ideas, decision making, and responsibility?

The team leader should assure himself that major gains in efficiency of operation can be realized from possibly traumatic changes in organizational structure before he embarks on paying the price. There is the possibility that the existing structure may be just as efficient in coping with the cultural environment as an organizational structure introduced from a foreign culture. On the other hand, it is possible that a different organizational structure is part of the innovative

process required by the institutional doctrine.

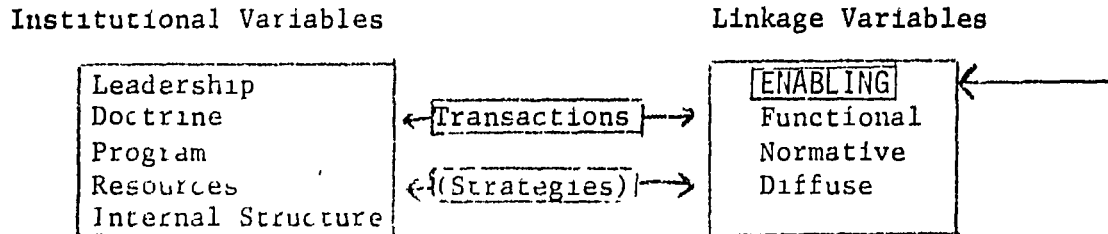
Effecting a new organizational structure is usually complicated by the presence of incumbents in certain positions who are either unproductive or uncooperative but who are protected by political support to such an extent that they cannot be removed or "organized out" of their present positions. Thus, reorganization of the institution's structure may not be feasible in the immediate future, but plans should be made to take advantage of the opportunity when it presents itself at some unexpected moment in the future.

#### LINKAGE VARIABLES

Effective institution building requires simultaneous attention to building the organization and to managing its environmental relations. Some leaders are more interested and more effective in the internal management of their organizations than in guiding their external relations. The development of an institution, however, is not done in isolation. It is part of an environment and it responds and interacts with a wide range of organizations, groups, and individuals. An "institution" in the present context cannot be effective and at the same time be isolated from the on-going activities of the community which it must serve.

It was common practice in the past for technical assistance agencies to avoid participation in the development of institutional linkages. That bordered on involvement in internal political affairs that was reserved for host nationals. It is now apparent, however, that the development of the linkage variables is so important to institutional progress and success that it must necessarily be the concern of all who are

interested in seeing the institution prosper.



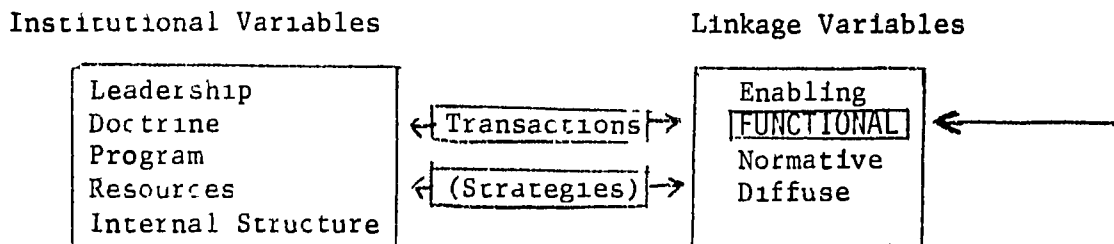
A public institution cannot function very long without benefit of official authorization from government. The particular role which a new or remodelled institution plays in national development can be greatly enhanced or severely restricted by the status of its legal backing. Official pronouncements at whatever level and in whatever form are important elements in an institution's environment. If they are favorable, they need to be cultivated and strengthened. If they are unduly restrictive to institutional development, a corrective strategy must be devised.

It is common experience for an agricultural university to undertake a program of agricultural research and extension only to find itself challenged by the Ministry of Agriculture which holds legal authority and responsibility for these activities. If the university is to move into this new activity in a successful manner, it will need strong enabling linkages, and these will probably come from the Ministry itself. Similarly, a family planning program that is challenged by a religious group will be in less serious trouble if it is backed by legal authority.

In most situations, the institution will have enabling linkages with government agencies. Frequently, the enabling linkages are a mix of several ministries. For example, the ministries of health, education

planning and finance may all have important roles in the financial support of a project.

The team leader is cautioned that enabling linkages are likely to involve sensitive political issues; therefore, his most effective influence will be in developing ideas and strategies with insitutional leaders and not in their actual execution



Functional Linkages involve cooperative relations with other agencies, and the efficiency and effectiveness of any single institution is highly dependent on the performance of the other units in the system. It is vitally important for the team leader to recognize that the new institution is only one of several elements in a complex of institutions providing related services. A proper understanding of how the host institutions fit into the system will be immensely helpful in planning a linkage strategy for the host institution.

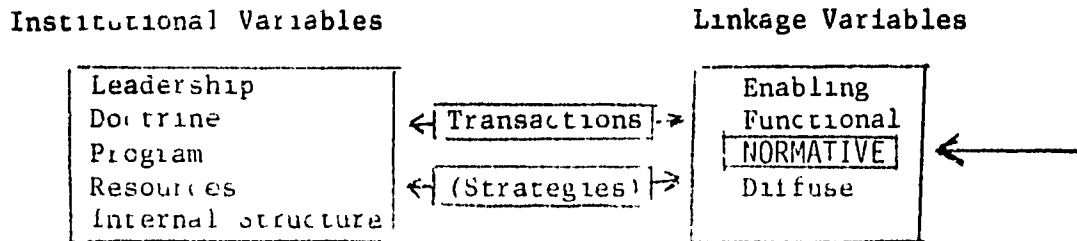
Most developmental efforts in a given field require a variety of inputs and a range of services which will entail the collaboration of many institutions. For example, to increase agricultural production certain essential services must be provided. These include the provision of new technical information, research, extension, credit facilities, inputs of fertilizer and seeds, transportation, and market facilities, to name only a few. Ideally, the many institutions providing these

services form a coordinated system. In reality, there is often fierce competition for resources and jurisdiction, and the entry of a new institution into the system may be resisted as a threat. There exists, then, a real need for the participants in the system to realize that they are part of a system. Moreover, they need to establish mutually supporting relationships (functional linkages) rather than antagonistic relationships or no relationships at all.

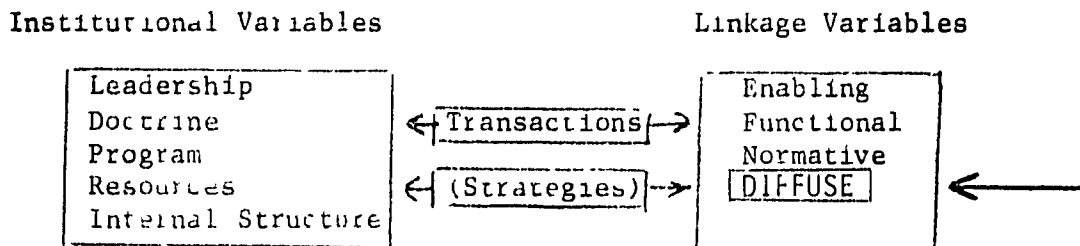
A useful tool in planning functional linkage strategy is a chart which relates the services required by a sector of society to the system of organizations providing the services. The services that are needed by the host institution clientele can be listed along the horizontal axis of a table. On the vertical axis can be listed all the institutions and organizations providing these services. This will show that some services are provided by several institutions and other services are not now provided by any of the institutions. This kind of table will enable institutional leadership to identify points of potential conflict or cooperation with other institutions.

If advance planning is not done for each stage of host institution development, there will be a tendency to give attention to linkages only in times of crises. Other organizations will be seen as competitors, rather than collaborators. In the initial phase of the project the host institution may be inclined to neglect linkages. A long struggle to secure enabling linkages often precedes the founding of the new institution and therefore it may wish to withdraw for a time from this turbulence to concentrate instead on its internal problems. It may indeed be wise for the institution to avoid more conflict than it can handle in

its early stages.



Normative linkages are those relationships with other groups who share an overlapping interest in the objectives and methods of the new institution. They are closely associated with religious beliefs and cultural values held in society, and therefore they are likely to involve emotional rather than economic reactions. These linkages are more likely to be fraught with traditionalism. As such they may represent the very antithesis of the institution's attempts to change and modernize various elements of society. The existence of these norms and values in parts of the society will affect the feasibility, process and strategy of institution building. Depending on the nature of the normative linkage, it can enhance or hamper the institution building process, and it is a strategic element for action and analysis.



Diffuse linkages are the relations with the general public. These are the objects of institutional reporting on radio, TV and newspapers. The "silent majority" in the general public is relatively slow to react to institutional activity, but in the longrun these "grass roots"

elements are the ultimate benefactors from the institution's production. In the longrun they exercise considerable political influence on government, and therefore their support is very important to an institution.

Strategies for cultivating and reinforcing the diffuse linkages may be the ones in which the team leader can be most helpful. The techniques of mass communication are available and useful. The political sensitivities are less here than in the other linkages. The entire staff of the institution can be brought into these activities. And best of all, they pay handsome dividends in institutional support.

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Again there are several questions which the team leader must keep constantly before him and must continually ask of the leadership of the institution regarding each set of linkages.

1. What services is the institution offering to governmental agencies and other organizations that will encourage their support of the new institution?

2. What is the status of conflict and competition, or alternatively, of cooperation and mutual support with other public agencies?

3. Is the product or the influence of the new institution being accepted by the public?

4. How closely do the politics of linkage formation agree with the institution's stated doctrine?

5. What strategies can produce the most effective linkages consistent with the institution's doctrine?

6. How effective are the publicity programs in attracting public support and acceptance?

## CHAPTER V - THE TEAM LEADER AND THE HOST INSTITUTION AND HOST GOVERNMENT

### Settling into the Project

- Personal and technical acceptance of team leader
- Contact and rapport with host institution leaders
- Perception of country needs and definition of host institution role

### Elements of the Institution to be Affected

### Dilemmas in the Team Leader's Work

- Leadership: Dependence and independence versus collaboration
- Doctrine: Immediate versus long-term gains
- Program: Extensive versus intensive, fast versus slow
- Resources: Programs for resources versus resources for programs
- Internal Structure: Narrow versus wide boundaries and implicit versus formal organization
- Linkages: Open versus closed institution

### Periodic Renegotiations of the Contract

### Handing Over and Developing Lasting Forms of Mutual Assistance

## CHAPTER V - THE TEAM LEADER AND THE HOST INSTITUTION AND HOST GOVERNMENT

In the formal contract calling for a technical assistance team, any mention of the team leader and the team is probably quite brief and general. To a large extent, therefore, the team leader will have to work out his role. With the host institution and its government, the team leader's role will vary in the first place with the experience the host country has already had with external assistance and with its indigenous capacity for institution-building. In many countries, both experience and native capacity are considerable. In these circumstances collegiate roles with host country personnel are preferable and appropriate. In other instances, where the host institution has little developed leadership in institution building, external team members may act initially as staff members or even directors of institutions. When this is the case, however, a plan must be available from the beginning for handing over these functions in due course to local staff members. Whatever the generally appropriate role for the team leader in a particular instance, defining it early with the expressed intention of clarifying it step by step as is possible assures that expectations are set up with the host institution and government which promote trust and close relationships, and these are very important to the development of the new institution.

The conditions in which the team leader works out his role also vary depending on whether he is to take over an ongoing project, with a network of activities, expectations, and arrangements already existing. It is within this network that the new team leader will then begin his work and it is important that he become familiar with its current state and

tendencies in advance. If the project is new, the team leader has a wide choice of role. Ideally, he would have been a participant in the negotiations and therefore conversant with the expectations of the host government and their assumptions and implications. If he was not, and this is more likely, these expectations constitute an invisible network for his activities which may be as binding as visible ones but less accessible and so also more testing and taxing for the team leader, like proceeding on an unfamiliar road in the dark.

How the team leader can prepare himself for his task in advance will be considered later (Chapter XII), after the four major segments are considered separately. But two points are clear for creating manageable conditions of work with the host institution and government from the beginning. One is that the team leader must make sure that the project as it is set up makes overall sense to him in terms of outcomes expected and resources provided. Only then can it command his best efforts for an extended period. Whether he is joining an ongoing project or a new one the institution building model can serve him as a checklist for the state of the institution's doctrine, leadership, linkages and other crucial components.

Secondly the team leader can expect overload, on the part of the host institution and government and also on himself. In the host country development characteristically produces overload, the understandable tendency is to overcommit its resources; and this overload is particularly severe on key decision makers and able heads of institutions: leadership. Overload of leadership then affects all other components of the institution building model, short-changing most all the basic developments of doctrine,

internal structure, and linkages. In many countries, people in top positions are so few that they tend to be involved in many things at the same time. They move fast between positions and have only a fraction of their time and attention to allot to any one project. Under great pressure, these people must necessarily assume that the data on which they operate are reliable and that even hurriedly reached agreements with colleagues will stand up in actual practice. Often, they have no time for follow-up or follow-through. For them, a mere idea often implies a plan, the plan a well-worked out project, and the absence of objections a commitment to act.

The team leader encounters many of the same pressures towards overload on him too. Under these pressures the key issues and goals are always in danger of getting confused and lost in the detail of every day working, and he too can get locked into ill-focused activities and skewed commitment. The five contributions which technical assistance can particularly make to institution building are listed in Chapter VI, and all of them are open to subtle adulteration. In the following chart each contribution is paired with its perversion and stated in terms of the team leader's role. The perversions will be recognized at once as classic in external assistance. Identified full-blown, they are like caricatures. In practice they grow subtly, by small shifts in emphasis as a team leader confronts the pressures on him day by day.

Under pressure of overload the team leader's function

| <u>as</u>                                        | <u>tends to deteriorate to</u>       |
|--------------------------------------------------|--------------------------------------|
| Provider of change models                        | Salesman of particular change models |
| Participant in leadership function               | Usurper of leadership                |
| Provider and allocator of valuable resources     | Lazy Bountiful                       |
| Transferor and adaptor of technology             | Copies                               |
| Participant's guide in administrative monitoring | Evaluator, research report writer    |

It will be important that the team leader avoid getting drawn into this same maelstrom and so become merely one more leader trying to keep pace with too many happenings. His contribution is not that of an additional pair of hands, however skillful, as if the host country were forever in immediate crisis. It must be of a different order: deliberate; seeking to smooth the turmoils others create as they run off in too many directions at once; reassuring; foreseeing needs around the next corner; listening, counselling planning, behaving for the long haul.

#### SETTLING INTO THE PROJECT

When the new team leader arrives in the host country, he becomes the team's primary contact with top management of the host institution. He carries the major responsibility for progress at this level. There is a useful sequence in his relationship with top management which he can follow, and these are described in detail in Chapter VI. If he joins an ongoing project, the relationship will be somewhere along this sequence, depending in part, on the performance of the previous team leader, his personality, his style and his success. But even in an ongoing project the new team leader has to start at the beginning, with becoming personally acceptable to his hosts.

#### Personal and Technical Acceptance of Team Leader

For the host institution, accepting the team leader may involve a belittling admission of inadequacy. If its leaders like the team leader personally, his help is easier to accept. Developing good personal relations with the institution's leader therefore has high priority for the team leader when he is new. When this is achieved, then he must

show that he is technically competent to provide the help needed to accomplish the task - building an institution.

Although the team leader's efforts have to be supported by the whole team and individual team members can help out in specific tasks, responsibility for the project's progress with the institution's leadership is almost completely his. Success of the project is impossible without a high level of performance on his part. He must win acceptance, which in turn actually increases the team's effectiveness.

#### Contact and Rapport with Host Institution Leaders

The team leader must have frequent close contact with the top administrator and others in the leadership group, both inside the institution and in the government and other centers of power. This is not merely a matter of getting to know what is going on in the institution. Sufficient informal contact has to be maintained with the decision making group to gain their confidence and retain rapport. Only through such rapport and by understanding the power structure, can strategy be successfully employed to accomplish project objectives. Even the children of respected leaders can be useful. For instance, through a close social tie with the son of a Minister of the National Government one team leader was able to reach his father and thereby substantially alter the leadership and direction of an important institution.

Basically then there is nothing more urgent for the team leader than to get to know the people he will work with, and to enable them to get to know him. He needs to know, most of all, the leadership of the institution and relevant sectors of the government. This means that "people"

activities take precedence over "things" activities. The team leader must devote time to getting acquainted, to listening and being listened to, to checking out his priorities and preferences with those of the leaders of the host institution, to asking about and clarifying unstated assumptions, to being a person open to influence and questioning.

Perception of Country Needs and Definition of Host Institution Role

The basic concept of the host institution producing something the economy needs, which in turn will merit the support of the economy, is both sound and useful. The team leader can help the top management focus and articulate this institutional role and give the necessary leadership and stimulation. When the institution's attention is sharply focused on country needs, it is ready to pay increasing attention to its internal functioning.

The team leader can now help the new institution through seven stages in its relations with the government and the public:

1. Evaluation of previous relationships between the institution and its government and public
2. Establishing contacts with government and public entities at many levels.
3. Developing public realization of the new institution's usefulness.
4. Achieving consensus between the institution and the government regarding the institution's role and responsibility.
5. Maintaining contact and rapport.
6. Ensuing publicity support for the institution and government.
7. Planning and execution of specific developmental strategy.

Changes in the leadership of institutions in developing nations occur with high frequency and the likelihood of completion of the above stages under a single administration is low. When the leadership changes many of the above stages will have to be repeated, until they become institutionalized.

#### ELEMENTS OF THE INSTITUTION TO BE AFFECTED

The institution building model in Chapter III listed five primary elements - doctrine, program, resources, and internal structure - and linkages. In order to focus his work where it will help most the team leader can examine first which are most in need of improvement, and second, which elements that need improvement are most open to his influence.

#### The Leadership of the Institution

The top leadership in institutions in the developing nations is normally found to be in the hands of a senior person. He has considerable administrative experience but usually not in the particular kind of institution which he now administers. The second and third echelons of the administrative structure, however, are much more likely to be occupied by younger persons, with little administrative experience. A difficult but essential part of the task is to strengthen this middle layer of personnel but without embarrassing the senior man for instance, through public exposures of administrative uncertainty. Ways and methods must be found through which alternatives for action can be examined without publicly disclosing the fact that he does not have all the answers "ready made."

The team leader's help with this lies not only in his ability to

conceive better ways of doing things or better policies to follow but in exploring objectively and dispassionately with the institution's head the relative merits of several alternatives. The political implications of innovations which he then agrees to try can be considerable. It is quite likely that he will wish to see innovations tried out informally before making a formal commitment of institutional policy.

High regard is quite common for the team leader who discusses the pros and cons of various approaches and who documents the several views well. To the contrary, team leaders who make dogmatic recommendations on the basis that "this is the way we did it at home" serve little purpose. To affect the leadership of an institution, the team leader is therefore best concerned with exposing the principles upon which policies and procedures should be based. For this, private, privileged conversations with the senior man usually provide a more effective setting than public meetings and seminars. Also, to sustain his own sense of balance and the proper patience the team leader may find it useful to reflect, perhaps for the first time in his life, on the history of his own and others' institutions and to evaluate critically the influences which helped or hindered their development.

### Doctrine

One of the greatest difficulties in offering advice abroad on attitudes and philosophy is that the advice which is proffered is often based on a different set of values than those held by the host nationals. To the extent that the recipients question the advisor's set of values, or more particularly, to the extent that they question his understanding of their own values, they are inclined to discount his advice.

One of the few ways in which confidence can be established in the team leader's ability to properly weigh the values of the host nationals is for him to engage in professional activity jointly with those he seeks to influence. Conversations in the field, the lab, or the classroom are generally more palatable and productive than formal conversations about attitudes and philosophy in the office or conference room. Like influencing leadership, influencing doctrine is a delicate matter. The safe way of doing it indirectly is then often also the most effective.

### Program

Program also calls for care and deliberation, but of a different kind from leadership and doctrine: It must be carefully tailored to the host country's needs, to the role which the host institution is to play in the nation's development, and to the resources (human, fiscal, and physical) which are realistically anticipated for the institution. The team leader is not particularly expert in advance in these matters but needs first to gain perspective and understanding of them himself. This means resisting the strong temptation to urge the adoption of program elements based more on the fact that they worked well at home than upon a realistic appraisal of the host country's needs.

The optimum role of the advisor in influencing program content must include activities which give him a genuine understanding of the restraints of the local custom and culture in the operation of the institution. It must also give him a fairly wide contact with the area to be served by the institution and to enhance his understanding of the country's needs. His capacity to interpret these needs will be greatly conditioned by his acquaintance with the country and its people. One of the obvious

ways of doing this, of course, is to travel. Traveling within the country in the company of his local colleagues is an excellent antidote and can provide a forum for discussion of the institution's role in the country's development and the realistic data for considering programs which can give this role expression.

### Resources

Institutions in developing countries are short of many resources, and the most basic and persistent among these shortages are trained personnel. Developing the institution's staff is therefore the team leader's best means for working himself and the rest of the team out of their overseas jobs. The crucial issue is to link staff development closely to institution building, its progress and its prospects. This puts concern with positions, numbers and timing squarely along side the more commonly considered question of selecting particular people for training.

Participant training is so important a part of the leader's responsibility that it will be considered separately in Chapter X. It is emphasized here, however, that the team leader has an active nurturing part to play at all stages of it.

As regards other resources, it is uncommon in developing countries to think of augmenting their funds and public support through cultivating the great body of "grass roots" constituents. Experience suggests rather that the basic decisions for support are made among a relatively small number of influential people and, therefore, the normal procedure is to go directly to these with any appeal for increased support. The concept of an institution gaining support in accordance with the services it renders is quite novel and unfamiliar. The most effective role for the

team leader in this matter is to lead the institution into developing this general public support for its activities.

The team leader usually has at his disposal a limited amount of funds, provided by the external assistance agency, which he can use to acquire physical resources. How he manages these funds is a microcosm of the management he expects the institution's leadership to perform with its total resources. If in this area of direct responsibility he practices with success what he recommends for the institution, his credibility will be high for the other aspects of his role.

Commonly, the team leader will use the funds he has for purchase of commodities from abroad. The institution's needs for commodities from abroad show the same progression as participant training and call for basically the same approach from the team leader. In the early stages the requirements are usually pretty standard and predictable: whole laboratories, some large items of equipment, standard sets of books for setting up the library, vehicles of approved types in approved numbers. Often, they can be ordered in advance of detailed planning and delays avoided. As the institution develops and its program is recognized and enjoys increasing indigenous support, commodity requirements become quite specific and the timing of meeting them becomes important.

#### Internal Structure

The team leader rarely has the opportunity to be involved in the development of an organizational structure from the beginning. There is nearly always some type of organization in existence, and while the team leader may prefer an alternative organizational arrangement, it is usually found that any reorganization which only reshuffles the same people

seldom achieves a marked increase in the institution's efficiency. This fact argues strongly for leaving the existing organizational structure alone until the team leader has thoroughly understood the capability of the existing arrangement for existing personnel.

Most organizational changes which are suggested on first sight are normally conceived as means of getting around bottlenecks caused by existing personnel. The point which is seldom appreciated by a newly arrived team leader is that others before him have recognized this bottleneck; they may well have rearranged the organization just to get rid of this particular person, only to find that he is a member of the local power structure and, therefore, cannot actually be "organized out of the picture." In the total developmental strategy, therefore, this aspect of building the institution could be deferred until others which are more critical have been taken care of.

### Linkages

The main point to be made about linkages is that they tend to be neglected: "out of sight, out of mind." So the team leader has to alter them with more determination and imagination than he needs for the other elements of institution building which stare him and his host colleagues right in the face day after day. Through linkages of various kinds flow the institution's resources and its products; they constitute the network of its essential relations with the world outside. Failure of linkages is very common and very costly.

It can come about insiduously, as preoccupations with immediate internal matters crowd out the more distant and less pressing. New institutions, like new couples and new Presidents, have a honeymoon period, of public

acclaim and any jealousies well hidden. When that is over the new institution is watched for indications, for instance, of how much it will respect others already in the field or related to it, and how aggressive or accommodating it will be. Where the institution's purpose is highly innovative and where the environment is politically unstable, extra attention is required on linkages.

#### DILEMMAS IN THE TEAM LEADER'S WORK

The team leader must direct his own energies from the very beginning in the host country with some assurance that they are being committed to issues of high priority in his part in institution building. His choice of activity is only half the task. The other half is how he works at them: his manner, tone and style. They are inseparable in practice, but will be kept apart for this discussion.

Dilemmas are at the heart of the team leader's work. They are issues which must be struggled with because they are inherently difficult and have contradictory facets. Faced with an issue that seems to have a simple solution, the team leader had best address the implicit problem of why the issue has remained unsolved. The following dilemmas will strike team leaders with experience as very familiar. The order is broadly that of the institution building model.

#### Leadership: Dependence and Independence versus Collaboration

The institution to be built is to be innovative. It must develop a life and character of its own, but it cannot be so innovative that it loses touch with those it is to influence. On the other hand, it cannot permit tradition to suffocate its innovative character. It is the

strategic task of the institution's leadership to manage these conflicting tendencies. It is an especially difficult task in fast developing countries.

The team leader is confronted with leadership in the host country that is imbedded with tradition. The environment forces him to be the major innovative element behind advance and gains in new kinds of experience for the institution's leadership.

How innovative, how different, can the team leader be and still be effective? Too little would mean not making the major differences that external assistance sets out to make. Too much would mean either "taking over" the new institution and being its head in all but title, or getting walled off by the institution's leadership. Reports from the field are full of references to the team leader "doing things" on the understanding that it would be "for just a while" and then finding himself saddled with this as "a bad habit." There are also reports of team leaders who "went off on their own to do" because the institution's leadership was "too busy" and things "just had to get done." Doing may be required initially to demonstrate or get some parts of the project going, but this early operation can be specified and the transition from doing to helping should be made clear.

The dilemma can be addressed if the team leader and the institution's leadership develop together the agenda of items and their priorities on which the team leader and the team are to work and then keep on checking out progress with one another. Written reports, including brief and informal ones, have been found useful for this. The agenda then becomes the arena in which the complexities of innovation are worked out jointly. Collaboration makes the focus clear and the dilemma manageable with careful

monitoring of tendencies in specific situations.

What matters most is not the speed and degree of innovation the team leader can get away with on his own, but what he can get the institution to accept and stay with over a long period. What he wants to avoid are the extremes of a leadership so dependent on him that it will be disabled when he departs at the end of his tour, versus a leadership so independent that technical assistance has little effect.

Doctrine: Immediate versus Long-Term Gains

Immediate demands on his time will continue to crowd in on the team leader the same as they do on the leadership of the institution. It is easy for the team leader to become so involved in short-term action programs and internal structure problems that the basic needs for development of doctrine are ignored.

Some of these demands on the team leader for short-term problem solving will come from his counterpart, the head of the institution. These are difficult to ignore, for the team leader came to help. Is he to set himself up to tell his counterpart which demands warrant his time and which do not - he who is new and cannot know the country nearly so well?

One temptation is to try to deal with both, all the immediate along with the long-term demands. The other temptation is to reject requests for help with current issues summarily, as a matter of principle: as not constituting appropriate work for the team leader. The team leader will have to find a judicious mixture of the two.

Resolution of this dilemma lies in sampling current demands and finding meaningful groupings of them which can be addressed more basically. For

instance, the team leader may be asked to sit on all staff selection boards. After doing this a few times he may be able to advise his counterpart to delegate preliminary screening to department heads. This strengthens the institution's internal structure and saves the team leader and the institution's head needless hours of work. More basically it is an example of a principle which can be incorporated in the institution's doctrine: that tasks will be distributed according to functional efficiency and economy.

Program: Extensive versus Intensive, Fast versus Slow

One of the changes that development brings is that new institutions are assessed more by what they produce than by their traditions, prestigious auspices or the high social status of their leaders. The team leader supports this view. Unchecked, this produces a multitude of short-term or standard programs of deliberately high visibility. The alternative extreme is to hold the program back "till it is perfected."

The resolution of this dilemma lies in helping the institution identify a core program of activities and launch it early but frankly as an experiment or demonstration. This satisfies the need of many people to have the new institution "produce something" and "show what it can do." The more innovative the new program or the manner of accomplishing it, the more understandable this need for visible accomplishment is. The prototype can provide the required concrete referent and allow the effects to be explored in practice. The next step is usually more difficult: to contain the program at this level so that its true value can be checked out in relation to the institution's primary purposes, and improved to ensure the resources and internal structure required for

continuing and expanding the program. It is a sobering thought that early success with new programs tends to be quite deceptive. One reason for this is that initial acceptors of an innovation are usually special and, therefore, marginal to the society in general. The special acceptance may actually raise the defenses which others have against the innovation. The second reason early success can be deceptive is that in the attempt to produce visible results, aspects of development which are inversely related to institutional success--physical plant, equipment--are over-emphasized.

The team leader can bring this broad insight to bear on the dilemma. His position as team leader can be an important factor both in staging the internal and external pressures for rapid expansion and diffusion of the institution's program, and in helping the institution use the initial experience to long-run profit.

Resources: Programs for Resources versus Resources for Programs

Programs and resources must be planned together if the project is to be successful. Plans should include some alternatives for different scales of program and resources. If the team leader can ensure that the institution works carefully on this relationship between programs and resources, and that the institution projects its programs and resource plan several years ahead, the project is off to a healthy start. Prospective plans add greatly to the institution's freedom to move tactically at a later time because they provide, in advance, an agreed context for specific decisions.

Experience has shown that when programs and resources are not carefully coordinated, one of two situations develop: either a broad-scale program is scheduled in the hope of attracting funds or large unspecified resources

are requested in advance of developing practical programs. Should the programs be routed into either of these pitfalls, the project will be off to a very unstable beginning.

The team leader is no doubt familiar with maneuvers to secure additional resources after the program is underway. These maneuvers can be useful on occasion if they are well thought-out and limited by realistic planning.

Resources are the one component in the institution building model where the team leader has some power as well as influence. Directly, he can ensure that external assistance gets well used. Beyond that, the team leader can regulate the flow in accordance with the quality of planning which he is urging the institution to undertake for its spectrum of programs and resources. For instance, he can refuse to entertain requests for additional expertise, equipment or participant training that do not spring from carefully considered and projected program and resource plans. In this way he can use his local control over the flow of external assistance as a lever for this aspect of institution building.

Internal Structure: Narrow versus Wide Boundaries and Implicit versus Formal Organization

A triangle of crucial relationships: team leader, counterpart and team. Through his counterpart, the team leader can influence the development of the new institution. It is with his counterpart that the team leader associates most. This relationship means they share the many aspects of the institution's development. This relationship may also lead to the temptation of exclusiveness. The team leader and the counterpart may become so attentive to one another that they cease to notice

others and cut themselves off from them. The same temptation exists for other team members and their counterparts, but the effects there are not as far-reaching. The deterioration of the very desirable close relationship into exclusiveness is more readily noticed between the team leader and his counterpart.

Exclusiveness on the part of the team leader-counterpart pair can have very grave consequences. Neither the team leader nor the counterpart is accessible and open to influence. This keeps involvement low, supports inclinations to wall off all innovation originating with the pair, and suppresses data which would help make innovations realistic.

The exclusive relationship leads to staff members feeling excluded from things they could do and to which they could contribute. They hold their contributions back and perform poorly. This proves the exclusive two-some right: the staff is unable to do what is required and therefore, "for the sake of the institution," they had "better continue to do it all themselves." This is a disastrous progression.

The alternative, of having everybody in on everything, is also a widespread malady. Commonly, it is a carry-over from the first days when the institution consisted of a handful of people who had yet to develop organizational routines and enjoyed each others' company. As the institution grows, the procedure of including everyone in on everything becomes increasingly ineffective and very costly. Yet, the lack of internal structuring often persists and is hallowed by culturally weighty references to being one big family. The same reluctance on the part of the institution's leadership to differentiate responsibilities and draw firm organizational lines marks each version of this dilemma.

If his personal needs and satisfactions do not blind him, the team leader will notice warnings of this dilemma in his contacts with his counterpart: their frequency, the absence of other staff, the head's complaints about the staff, references to his "having to do everything himself," and many others. The team leader can do three things. He can work with the head to involve staff members in planning and assuming responsibility for activities which they can undertake. He can build regular staff development programs early into the new institution. And, he can ask other team members to work similarly on dysfunctional relationships with or among their local colleagues.

Secondly, he can open himself to the negative as well as the positive feelings of his counterpart as they go about the exacting business of institution building and so protect staff members and team members from them. This will prevent needless difficulties in improving institutional relationships.

Thirdly, the team leader can work on dispelling the reluctance of the institution's leadership to develop an internal structure appropriate to the nature and scale of the program, and to articulate it formally and publicly. Their reluctance is often deeply rooted in traditional relationships. Progress may be slow, but institutional failure on account of inadequately developed internal structures is so frequent that persistence is essential.

#### Linkages: Open versus Closed Institution

The temptation for a new institution to go it alone is strong: to try out new things, to concentrate on what is at hand and under control, to hide what is unready from the jealous eyes of competitors real or

imagined. These aspects justify seclusion to the new institution. The alternative, usually justified on the grounds of building good relations, is to go for maximum inclusion by inviting the active participation of outsiders and other institutions, and accepting invitations to participate in their activities in turn.

The first version of this dilemma, seclusion, is the more common. Linkages between the new institution and its environment are likely to receive inadequate attention. There was heavy involvement in developing the proposal and working out the plans to set the institution up, sanction it and provide resources. There is a readiness to get on now with other work. The new institution is afforded protection for a time, to develop its program and get its house in order. But this shielding from the reactions of its sponsors and other parts of its environment also deprives the institution of much useful information. The dynamics and the meanings of this denial of signals from the environment are analogous to the "protection" accorded to newcomers in a foreign situation, like the team leader in the host country. The point to emphasize is that at this boundary between the new institution and its environment the complex ambivalences which surround all innovation will be played out, and unless very special care is taken of linkages there, the innovation that the new institution embodies will be overwhelmed or walled off by its environment: made to conform or be ostracized.

The special care which the team leader needs to give to resolving this dilemma consists in the first place of keeping it in the forefront of his counterpart's attention. This is made very difficult by problems of access to important environmental sectors, by mixed feelings about getting

into this area, and wistful hopes that nothing need be done as long as there is no open crisis, and that the team leader is exercising himself and others quite excessively. Environmental linkages are, then, the component of the institution building model which tempt the team leader most to action on his own if the institution's leadership will not join him in it and perhaps try taking action of his own, to force their hand. This direction holds grave risks of throwing into question the responsibility for the institution's leadership, including people in positions of power, and of destroying trust in the team leader at the institution. A far more promising line of action is to arrange for the institution's leadership to visit other places in their country or abroad to become acquainted with how other institutions handled this issue, and to have concentrated opportunities to think through their plans for differentiating the new institution and linking it effectively to those sectors in its environment which are relevant to its development

#### PERIODIC RENEGOTIATIONS OF THE CONTRACT

To provide milestones, to mark progress and also clarify the next steps, periodic formal renegotiations of the contract between the technical assistance team and the host institution seem very desirable. Such renegotiation must be authorized by the home institution and the external assistance agency. Perhaps at regular intervals agreed in advance, some items of work can be formally marked as closed and new items shifted into priority, and emphases can be shifted from less to more advanced methods of working on various items. Such an arrangement forces the team leader into a very desirable habit of involving the leadership of the host institution periodically in planning and re-planning the institution's

current and impending needs. Development needs can be identified. As they change, the team's part in meeting them can be clarified and allocated to the team leader and other members, and new priorities can be established. Time estimates, criteria for assessing progress, and lines and modes of communication during the next stage can be agreed upon and the time fixed for the next review and renegotiation of contract.

Listed below are five general progressions of a team leader's work, over a four year period, with a new industrial staff college.

1. From doing to teaching another to teach, and from teaching to shaping conditions for others to do and to teach.
2. From initiating to responding.
3. From interacting with one to interacting with pairs, groups and with the institute as a whole.
4. From concern with the immediately current to concern with the things of the future.
5. From concern with the institution and its environment separately to building linkages between them.

#### HANDING OVER AND DEVELOPING LASTING FORMS OF MUTUAL ASSISTANCE

Handing over can refer to two different occasions. In one, the team leader hands over his role to a successor. In this case he is then at the other end of the many issues and processes discussed in the first section of this chapter. All that needs to be added here is that the team leader should be prepared to spend much time with his successor, to overlap with him on the site, and beyond that to review his experience over the years carefully for both specific and public reporting to his professional colleagues.

The second occasion marks the withdrawal of the team and phasing the institution into new forms of external relationships. If institution building went well, the team leader ensured that withdrawal and rephasing were incorporated in plans and strategies from the beginning, with progress towards them monitored many times along the way and the eventual arrangements provided for and anticipated step by step. Such deliberate preparation is still rare. It marks short-falls in practice on the part of the team leader and also in the processes of external assistance on which team leaders have had little influence. As an example, one advisor held the responsibility of department head for seven years and was still not quite convinced that anyone else was ready to take it over. In other cases external assistance is cut off before the institution's staff has mastered essential perspectives and activities.

The best institution building projects have had external assistance for over ten years. All the components of the institution building model will have been addressed many times. One independent responsibility after another will have been taken over by the new institution. In the course of this, the personal and professional composition of the institution building team will have changed. The team leader's role itself is likely to have been carried out by two or more people in succession. In the process, the institution building team will have varied in size and composition as new needs clarified and were taken over in turn by the institution itself. Toward the end, the team probably shrank to very few members. Studies strongly point to long-term, experienced generalists as the optimum input early in the project and short-term, highly articulate specialists as the most productive in the later stages. During the later stages, the need is also for stimulating, short-term contacts with imaginative

and energetic department heads and other experienced administrators who would continue informal but mutually productive professional exchange long after their tours. This foreshadows the next phase.

Long before the event, probably over a year before, a planning review will have identified that the declining need for consultants from abroad in some areas is no longer matched by new needs in others.

Systematically, the team leader can help clarify criteria which can indicate the institution's readiness for the withdrawal of the remainder of the team. Simulating and rehearsing with the host institution the issues that may arise at that time and the institution's own unaided responses can help greatly in preparing for final withdrawal. The same combination of scanning for probable issues, planning the response and simulating their execution is likely to reveal specific areas of continuing need for overseas resources. One of the team leader's last clear tasks is to arrange that these be met and, more importantly, that his counterpart has the contacts he needs to identify resources and arrange for them.

The team leader's final report, similarly, is the last of a well established series. Its purpose is two-fold. One is to identify as specifically as possible the position that institution building has reached at the time of withdrawal, using the indicators and criteria developed and used over the years. The other purpose is to indicate aspects that call for attention and action in the period immediately ahead and others which call for advance preparation. This final report, like the others that preceded it from time to time, is ideally an agreed document, a shared record of shared enterprise.

A final word on ritual, the ritual of arrival and the ritual of departure. Almost invariably, it has greater significance to the host

country and the host institution than it has to the team leader.

Before he treats it too lightly, disdaining it or taking it more personally than it is meant, two final thoughts may be in order. One is that the cohesion and confirmation for which a shared ritual stands may be doubly important in developing countries which are newly venturing into the uncertainties and upheavals of major societal change. The second is that nothing on the current western scene suggests that aid-giving countries have found better ways of managing their own cohesion. A formal ritualistic parting may not be merely strangely touching--it may also be very appropriate.

## CHAPTER VI - THE ROLE OF OUTSIDERS IN INSTITUTION BUILDING

### The Role of Technical Assistance in Institution Building

- Providers of change models
- Participants in the leadership function
- Providers and allocators of valuable resources
- Agents for transferring and adapting technology
- Providers of operational monitoring
- General guidelines

### The Role of Team Members in Institution Building

- Relationships at individual staff level
- Relationships at mid-management level
- Relationships at top management level
- Relationships with institutional linkages

## CHAPTER VI - THE ROLE OF OUTSIDERS IN INSTITUTION BUILDING

The primary objective of technical assistance institution building projects is to help form an indigenous institution that is staffed with competent host nationals and that is adequately supported from host government sources. Two crucial issues arise constantly in the administration of outside personnel and outside resources in keeping the above objective in sharp focus. The first issue is "what aspects of institution building can be effectively influenced by external resources, and what procedures lead most rapidly to national self sufficiency in sustaining the institution's functions? "

The second crucial issue concerns the specific role to be performed by outside personnel. What must be accomplished by their personal presence that cannot be done cheaper or more effectively some other way?

Both of these issues are central to the team leader's administrative responsibility since they guide his management of all the resources that are provided through his project. They are particularly relevant to the management of the team members. These two issues, therefore, are the subject of this chapter, providing background for the chapter on the team members.

### THE ROLE OF TECHNICAL ASSISTANCE IN INSTITUTION BUILDING

The resources that are provided from technical assistance seldom constitute more than a minor part of the total resources committed to an institution building project. Therefore, these external resources must be regarded as catalytic and stimulative, and they should be directed mainly to those institutional characteristics that respond positively to external influence.

## VI-2

The team leader should constantly remind himself and his team members that the team's function is institution building. This is a very specific form of technical assistance. If these two operations sound similar, the team leader should recall that the basic phenomenon of institution building may and often does proceed entirely independently of technical assistance. The major function of an institution building technical assistance team, therefore, is to facilitate and accelerate the institution building process.

Technical assistance appears to be critical in five aspects of institution building.

### Provider of Change Models

It is difficult to generate new ideas about how to do things differently, to conceive of different styles of operation, or to imagine a different role for an organization in society without stimulation from the outside. There is considerable inhibition to the imagination in knowing too much about the local environment. Thus, the local leadership can see too many reasons why new approaches would not be successful or should not be tried. They will know of many political conflicts that will be generated by certain innovative thrusts. They are inclined to believe that the costs of confronting these difficulties will be too high and therefore their imagination is stymied in the development of change models.

Outsiders are not restrained by detailed knowledge of customs, political currents, or inadequacies of support when they are looking for better models for the organization. They rely on the experience or the intellectual achievements of other societies to supply ideas for new

models as well as the technical and managerial knowhow to help local people in using these instruments.

The very fact, however, that they are capable of dreaming new dreams does not make them omniscient in molding these models to fit local needs and local circumstances. Technical assistance personnel, therefore, are frequently perceived as spearheads of change, but this can be dangerous unless the local leadership collaborates strongly to attenuate with realism the foreigners' enthusiasm for their familiar models in adjusting them to the realities of the local situation.

#### Participant in the Leadership Function

In the framing of doctrine and priorities, the development of programs, and especially in the building of the internal organization, foreigners, including the team leader, are usually more effective in internal organization roles than in attempting to deal with the external environment. Yet they are sometimes in a position to break through formal administrative or social channels and thus to intercede with enabling linkages on behalf of the developing institution. An outside "expert" often gains the ear of a Minister when it is inaccessible to the institutional leaders.

Introduction of new elements into an institution requires not only the basic conceptualization of the ideas, but also needs the guiding hand of someone experienced in the operational techniques required to make the new system work. Therefore, the effective installation of new systems, innovative approaches, or new technology is virtually impossible in the early stages if no one is experienced in making it work. The team leader may be able to provide this experience. The caution flag to raise, however, is that institutional leadership must acquire these

skills at the earliest possible moment.

Provider and Allocator of Valuable Resources

Such resources as technically trained personnel, participant training opportunities, equipment, operating funds and information are valuable in themselves, but they also facilitate the process of change by providing both inducement and independence for the local leadership. These outside resources have the side effect of legitimizing and increasing the influence of foreign technical assistance personnel, which in turn provide opportunities for experimentation with new and different innovations.

While these valuable external resources may be regarded as opportunities for improvement, they also carry with them grave responsibility for encouraging institutional development along proper lines. There is often irresistible temptation to use external resources for elements of the institutional program which are not entirely central to the high priority goals and objectives of the institution. Once started on the wrong path, they can easily drain off scarce institutional resources into activities that are not of great importance in national development.

Outside resources are generally necessary for initial changes to occur since it is virtually impossible to supply them from local resources in adequate amounts in the early stages of institutional change. These new resources normally represent additional expenditures over and above the traditional costs rather than reallocations of existing resources. Outside assistance, therefore, may be crucial to making institutional changes, even though the proportion of resources provided from the outside may be small relative to the entire institutional resources.

Agents for Transferring and Adapting Technology

The early years of technical assistance proceeded under the assumption that transfer of technology was simple and that it could be accomplished with very little adaptive research. It is now clear that most technology must be carefully adapted to the local environment by systematic testing and altering if it is to succeed. It is one thing to have "book knowledge" of a technology, but it is quite another to understand the technology so well that symptoms of malfunctions are recognized and causes removed as the innovation becomes "institutionalized." Technical assistance personnel help to build confidence among local personnel in transferring and adapting technology, and this is indispensable to the major institution building purposes. However, technical inputs are emphatically not the totality of the institution building function, and therefore this must not be regarded as an end in itself.

Provider of Operational Monitoring

This is a relatively recent function that has been provided from technical assistance and it is to be sharply contrasted with the usual "control" or auditing type of monitoring that plagues all organizations. Operational monitoring refers to the continual examination of strategies for achieving the goals set for the institution, the shifting of the resources and structure to accomplish the primary objectives, and the taking advantage of changing opportunities in the environment.

It is important to note that all of the above five functions which may be performed by outsiders are actions which eventually must

be taken over by the institution itself. Therefore, the best strategies for the team leader are those which are designed to leave these activities to the institution's own resources as quickly as possible, but not before they are well enough established to operate efficiently under local resources

### General Guidelines

Overall guidelines in the development of strategies that utilize technical assistance inputs in the most efficient possible manner is the subject of other chapters in the manual. There are, however, a few generalizations which should be made here and which will introduce the detailed presentations in subsequent chapters.

There are three major inputs which can be made through technical assistance. These are 1) services of professional personnel, 2) foreign training for staff members, and 3) commodity and program support for the local institution. These inputs are not equally productive at the same stage in the institution's development. There is considerable evidence from the past fifteen years of technical assistance experience to show that some of these inputs are much more productive early in an institution's development and others become more efficient in the later stages. A few guidelines emerge from a study of past experience:

1. In the early phases of institutional development the most urgent requirement is to get a "critical mass" of staff members who have sufficient technical background to be able to initiate effective programs in their respective departments or areas. This is the part of technical assistance which takes the longest time and therefore it should be started at the

earliest possible moment. This cannot be done, however, without some pre-planning of the institution's new doctrine and some idea of the programs which will be undertaken. Thus, all of the elements of an institution must receive some attention from the very beginning, but it would be preferable to concentrate external resources in the area of staff training much earlier than has been customary in the past.

2 As soon as staff members begin to return from advanced training abroad, it is urgent to capitalize on the enthusiasm which they bring with them and to provide them with guides and some resources for getting programs underway. It is at this point that technical assistance "advisors" can be of greatest utility, and it is at this point that a small amount of program support funds will go a long way.

3. As the institution matures, its programs are well identified and the staff has good technical training. Then the lack of different types of resources such as equipment, laboratories, research facilities, etc., become the most restrictive aspect of institution building. By this time the institution should be producing some exciting results that attract local support, and the wise management of external resources will be specifically directed toward the encouragement of local support. This means that it will be just as important to determine when to withdraw a particular kind of external support as it is to supply it in the institution in the beginning.

4. The wise allocation of external resources implies that they must be applied to the activities which are important to the nation's highest priority needs. It would be little short of criminal to

encourage the institution to develop along lines that are of low priority in national planning and therefore have little prospect for developing local support

5 The allocation of external resources needs to be carefully tailored to the institution's capability for continuing programs once they have been started. It is not uncommon, for example, to find outsiders waxing enthusiastic over the development of a segment of the institution far out of proportion to that institution's later needs. It would be counter-productive to lure a department or a section of the institution into an oversized involvement along one particular line only to find later that the institution could not, in fact, justify such development within its overall program priorities.

#### THE ROLE OF TEAM MEMBERS IN INSTITUTION BUILDING

There has been much confusion and difference of opinion on what outside technical personnel are supposed to contribute in enhancing and accelerating the institution building process. One helpful way that has been found to understand this process is to describe the entire series of changes that occur in the institution from the beginning to the end, and to weave the interplay and contributions of outside technical personnel into this change process. This makes it possible to illustrate the specific role for a team member at whatever stage or level he may find himself involved in the formation of a new institution or the reformation of an existing one.

The following description is a "construct" that has been distilled from the experience of more than a decade of technical assistance in

FIGURE 3. A "Construct" of the Role of the Technical Assistance Team in Institution Building

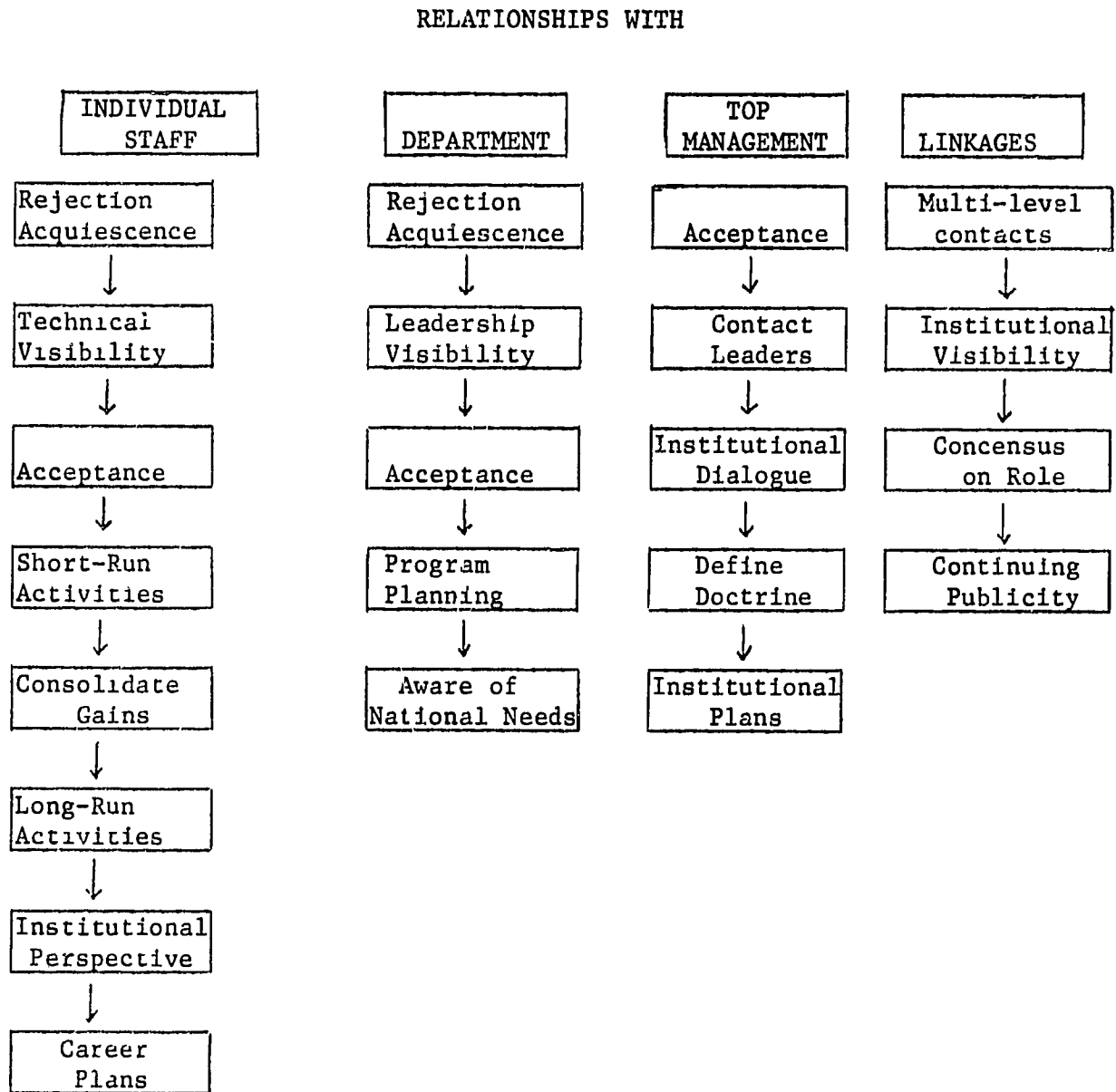
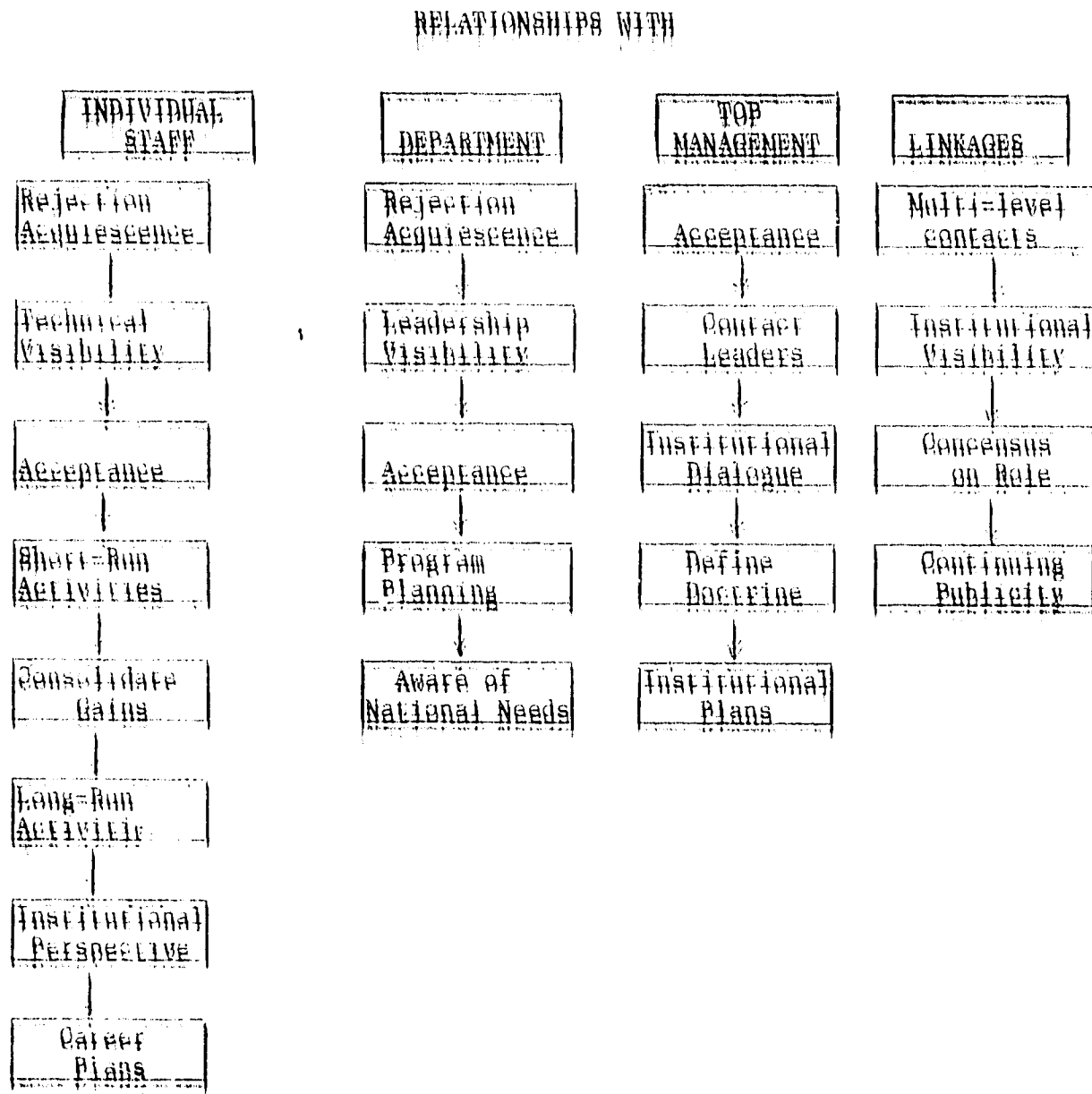


FIGURE 3. A "Conservet" of the Role of the Technical Assistance Team in Institution Building



### Rejection and Acquiescence

The presence of a foreign team member may imply two things to the host staff: (a) inadequacy of the host staff member, his organization, and even his country and (b) imminence of a change. Both of these are threats - the first to a person's self-respect and security and the second to the security of the existing organization or the present system of his personal relationships. Both of these threats tend to evoke defense mechanisms, and the normal defense for the host staff member is to reject the foreign element. With some, this rejection is of such magnitude that the team member's participation in the development process never starts. With others, the rejection gives way to an acquiescence to his involvement in the program. The acquiescence could result from force, persuasion, the need to know, or something else; but it is prerequisite to the succeeding stages.

### Technical Viability

Rejection is overcome by inter-personal compatibility and is manifested by the ease and eagerness with which the team member and the staff member associate with each other. Those actions and activities which normally promote better human relations will be equally effective here in bringing about early personal acceptance. Technical acceptance, however, requires a different manifestation on the part of the team member.

Rarely is professional reputation enough to give the host staff member confidence in the technical capacity of the team member. Technical ability in another environment is not directly and automatically transferable, and some of the potentially best team members have been virtual failures in technical assistance efforts because they have not

"proven themselves" locally. The host staff member perceives risk in too rapid acceptance of an outsider, part of which is objectively justified and part of which results from the earlier mentioned threat to his own position. Technical visibility is tangible, visible evidence that the team member can make contributions to the local environment which compensate for the negative effects of his presence. Some visibility can be achieved by the efforts of the entire team, but the individual team member's own technical ability must also be proved.

An important feature of technical visibility is the impression given as to the motives of the team member. Visibility for personal aggrandizement of the team member will impair acceptance whereas visibility for the purpose of improving the lot of the host staff member will enhance it.

### Acceptance

Acceptance implies willingness to be openly identified with the team member in a cooperative relationship, and a certain threshold of acceptance must be achieved as a prerequisite to progress in subsequent stages of technical assistance.

Both technical acceptance and personal acceptance occur in varying intensities and they increase in the normal progress of a program. It is important to note, however, that acceptance of one individual is not transferable to his successor. Acceptance may be easier or more difficult for a new team member depending on how his predecessor performed, but in any case, it will be necessary for each new team member to cross these thresholds again.

### Initiation of Joint Short-Run Activities

The previous stages are essentially conditioning activities for

both the host staff member and the team member. They set the stage; they make a favorable environment; but they do not actually contribute to institution building. This is accomplished in the following stages:

One of the earliest aspects in which the team member actually becomes involved in institution building is the initiation of some activity in which the two persons are involved as a pair, with individual success or failure dependent on pair success or failure. The main objective is success in a joint venture and a short-run activity with a high probability of success is most effective. If this activity is productive, i.e., useful, the stimulation will be greater; but successful accomplishment is the essential element and its purpose is to initiate a change of attitude from indifference and pessimism to self-confidence, initiative and optimism on the part of the host staff member.

#### Consolidation of gains

New activities tend to initiate changes in attitude and thus lead toward the necessary personal and individual commitment. This commitment must be guided and reinforced in the direction of commitment to the host institution's new doctrine, new program and to the formation of linkages which are required for successful institutionalization. The team member and the host staff member are operating as a pair, as colleagues; but it will be inevitable in many cases that the team member will assume a dominant role in the early stages by suggesting new ideas, new techniques, new programs and new linkages. It is important that as the staff member gains new insights and begins to develop new commitments that the team member makes sure that the initiative passes over to the host staff member. The team member's function gradually becomes less one of initiating

new ideas and more the encouraging and nurturing of the flow of ideas from the staff member. Failure to recognize the appropriate opportunity for such a shift in emphasis will result in continued dependence or even resentment on the part of the staff member.

### Formalizing Long-Run Activities

Activities up until now are ad hoc no matter how good they are. The time will come, however, when sufficient confidence is gained by the staff member and by his administrators that they will want to entrust to him important, long-range institutional programs and responsibility. It is the role of the team member to aid in identifying the appropriate long-range programs to which this staff member can most fruitfully devote his energies and to help him with the planning and the initiation of these activities. The role now is one of genuine colleagues where both members of the pair are productive professionals with the common goal of executing these long-range programs in the most efficient manner.

### Development of Institutional Perspective

Throughout the above stages several things have happened to the staff member. He has learned that individuals do have unused potential even with severe resource limitations. He has increased his confidence in himself. He has seen that he can be useful and he sees possibility of support for useful activity. He may be strongly tempted to "go it alone" rather than fight institutional battles. He is led to see, however, that he will soon be viewed as an individual without certain assets which require changes in his institution. Thus, he tends to develop an identity with his institution which involves both his responsibility to it and his dependence upon it; and both of these he sees as

relating to the public interest. He develops a genuine sense of personal and professional commitment. The role of the team member is to accelerate and deepen these changes in every way possible.

### Development of Career Plans

The final stage in this individual-to-individual phase is the development of a career plan and strategy. The staff member has a well developed idea of what he wants to accomplish, for personal reasons, to be sure, but also with a growing sense of responsibility, and he has a well developed idea of what he will have to do in the area of self-development to accomplish it. He will also have made some progress in executing the plan, since it grows out of and is a continuation of all that he has been through. From this point, the relations with the team member continue on a peer basis. This is the culmination of the contribution that must be expected from the team member at this level; although he may continue to bring the staff member into wider contacts with his professional world long after their physical separation.

### MID-MANAGEMENT RELATIONS

Team members normally find themselves working with several host-staff individuals. Some of these may very well have administrative responsibility for a Department, a Division, or a Section of the Institution. Thus, the team member may find himself dealing with several levels of relationships concurrently. His relationships at the mid-management level are not independent of his other relationships, but it is helpful to describe them separately here in order to draw certain distinctions. We will use the term "Department Head" to refer to this mid-management

group although in any particular institution the appropriate term may vary widely.

The relationships with the Department Head involves groups and inter-group relationships. However, the critical contacts are still made by individuals; and therefore, inter-personal relationships remain an important but not the only influence under consideration. It is helpful here, however, to recall that the Department Head acts as a representative of a group and his decision therefore has wider implications than if he were acting for himself alone.

#### Rejection-acquiescence

The relationship between the team member and the Department Head involves the same personal interactions as described for individual staff members. Interference in the program of a Department tends to evoke the same defense mechanism as described earlier. Acquiescence and acceptance are initiated as soon as the Department Head begins to see advantages which will outweigh the adverse influences which caused the rejection in the first place.

#### Leadership Visibility

The team member's visibility in program leadership at the administrative level is more difficult to achieve than in a purely technical activity. The transfer of technology from one culture to another is regarded by host personnel as being easier than the transfer of management systems which involve people and their peculiar cultural implications. Furthermore, some of the basic objectives of a foreign management system are often at variance with those of the host institution. Thus, technical visibility in shaping administrative units within the institution

involves actions, activities, ideas, conversations and general demonstration of understanding of local conditions which will tend to inspire confidence in the team member's judgment and personal qualifications:

### Acceptance

Personal and technical acceptance must be broader in scope. It involves more than a single person - it involves a higher degree of institutional support, and therefore, there is a higher risk in acceptance at this level:

There are other aspects of this relationship which are also important; namely, a) the activities of the team member and the Department Head are more visible than at the staff member level, b) collaboration has deeper consequences since it involves administrative policy, c) personal acceptance implicates various members of the department as well as the Department Head, and d) at this level the advisor is dealing even more with attitudes and inter-personal relationships than with technical substance. Therefore, he must have the general confidence of host personnel that he can receive and deal with sensitive information safely and discreetly.

### Program Planning

The role of the Department is to develop a facilitating organization to enhance the activities of the individuals within that unit. However, organizational changes alone are seldom adequate, and more important are attitudinal changes about the role of management in favor of sympathetic and stimulating leadership and away from authoritarian or dictatorial roles. Therefore, dialogue between team members and Department Heads in this area can only be initiated after some degree of rapport and

confidence has been achieved. Initial discussions in these matters are usually unstructured and deal more with principles than with the specific departmental problems. They might involve the Department's role, its needs, its growth, its future and its relationships with the rest of the institution. Sooner or later, however, these general discussions will give way to discussions aimed at specific decisions which will organize the department's existing human resources. They will lay a framework within which additional resources must fit, and they will develop priorities for future departmental activities. These discussions will take account of the inefficiently used human resources in the Department and will seek ways in which they can be put to more effective production.

The Department's structure, philosophy, and posture within the overall institution will reflect the Department Head's personality, aspirations and background and they will include the changes in these characteristics that have occurred because of the team member's influences. The modification of attitude and basic philosophy will be the most productive changes and they will perhaps require the greatest degree of statesmanship on the part of the Department Head. Therefore, progress in this area will be particularly slow in those individuals who are steeped in the traditions of existing bureaucracy and who are constrained by a larger number of personal ties. Organizational changes can come faster but they will contribute much less to the building of an institution in the absence of basic changes in doctrine.

The result of the above activities will be the development of a realistic overall plan for the Department which has a substantial degree of understanding and acceptance by the Department staff. This

will include the new attitudes, new approaches and new perspectives that are registered by the Department Head. The plan will be one which carefully estimates resource requirements for the programs that have been conceived and which establishes priorities on programs and resource needs. It will also include the planning of the careers of the individuals within the Department to satisfy departmental needs; and this in turn will require close cooperation with top management.

#### Awareness of National Needs

By now the Department Head is able to see the role his department can play in the development of his institution and his country. This will result partly from his growing sense of responsibility to his institution and his country and partly from increases in prestige and satisfaction which he has experienced from new activities undertaken by the binational pair. This state is characterized by articulation of departmental role and the translation of this role into specific activities. It will begin to be reflected in the minds and activities of the more innovative and progressive members of the department.

#### TOP MANAGEMENT RELATIONS

The team leader will be the primary contact with the institution's top management; but there will be many occasions in which team members can also make useful inputs at this level.

#### Acceptance

A team leader must achieve personal and technical acceptance much as the other members on his team. The various stages through which he

passed; however, will not be as apparent because of the modifying effects of the team's performance and the political sensitivity of the position. He must accomplish a higher level of personal and technical acceptance for effectiveness. Success of the project is almost impossible without a high level of performance on his part.

#### Contact with Institutional Leaders

This stage will be marked by close contact with the top administrator of the host institution and others in the power structure. Contacts will be both formal and informal. They will be continuous. The team leader has to know what is going on in the institution; which means sufficient informal contact has to be maintained with the decision making group to gain their confidence and retain rapport. This stage is also marked by the team and team leader identifying with the host institution to the point that the latter is convinced that its problems are of genuine concern to the team leader and the team.

#### Institutional Development Dialogue

Initiation of institutional development dialogue will begin to structure the many random discussions held previously. It will build upon similar dialogue by individual staff members and Department Heads at their respective levels. This dialogue will develop concern for longer range plans; discussion of problems and opportunities; alternative approaches to problems and their consequences; views of host country needs and how the host institution can fit into them. The dialogue will examine the institution's capacity to meet its responsibilities; the deployment of present resources; and the needs for new resources. It will begin to

expose some of the political and personal affiliations and ambitions both inside and outside the institution which will have to be dealt with:

### Institutional Doctrine Defined

The institution's doctrine emerges full blown as the dialogue becomes translated into concrete ideas about the institution's role in national economic development. These ideas are a function of the country's existing situation and its needs; the host institution's special competencies; and the aspirations of competing institutions. The institution sees itself as producing something society needs; and if it produces efficiently, it expects the economy to support it well. A consensus develops among the departments of the institution regarding the institution's doctrine; and top management articulates the doctrine as a means of stimulating loyalty and productivity.

### Institutional Plans Developed

Long range institutional plans emerge as a consequence of understanding the nation's needs; the resources available to the institution and the political environment in which the institution will function. Rational, positive action which takes full account of these factors requires strategies for moving from existing patterns and programs. Plans are carefully made for obtaining necessary physical resources; for upgrading staff competence and for reorienting institutional programs to high priority needs.

### LINKAGE RELATIONS

The development of institutional strategy for development involves understanding the forces and agencies that are competing as well as those

that are collaborating with the institution. Just as action at each higher level within the institution is necessary to enhance and protect the gains made at subordinate levels, so gains at the total institution must be secured by action at the broader society level. Government is the management entity in society, but there are other elements in business, commerce and the general public that are also interested in the products of the institution.

#### Multi-level Contacts

Mutual understanding, respect and confidence develop at several levels between the institution and its environment as a prerequisite to effective coordinated planning and action. Again, this requires initial demonstration of institutional competence and usefulness in areas that government and the public consider relevant. Top management contacts and relationships develop, but they have little chance for continuing success unless underpinned with functioning relationships at middle management and staff levels. The contacts at all levels must be sufficient in number and quality to make favorable impact on government and the public.

#### Institutional Visibility

Nothing succeeds like success. Therefore, effective and productive activities at all levels have as an integral part of their design giving public visibility to the institution. Continuing support cannot be expected if neither the public nor government are aware of the institution's presence or its activities. The development of competence must precede bids for additional institutional responsibility. Thus, institutional visibility becomes a key part of its development strategy.

Consensus on Institutional Role

After demonstrations of the institution's usefulness there develops a consensus with government regarding their mutual relationships and respective roles. This serves the institution's purposes best if they are articulated or formalized, but each has a viewpoint and an appreciation of the other's viewpoint, and these two viewpoints are accommodated. However, relationships are not simply between the two entities. Other agencies may be involved and the risk of jurisdictional disputes is high. Therefore these relationships are not only bilateral but multilateral in many cases.

Continuing Public Relations

Institutional officials and staff may establish good rapport with government and the public at one point in time, but the high rate of turn-over and the rapid change in the political scene will require constant and continuing effort in this area. As government officials change, much has to be re-established; hence the necessity for productive multi-level contacts and adequate relations with other entities in society. The development of a public information and public relations program that is compatible with the institution's doctrine therefore becomes a continuing process.

## CHAPTER VII - THE TEAM LEADER AND THE TEAM

### Guiding Team Members in

- Institution Building
- Activities with Host Staff Members
- Activities with Mid-Management
- Activities with Top Management
- Activities in Building Institutional Linkages

### The Team Member's Personal Comfort

### Professional Development of Team Members

### Evaluating Team Member's Performance

## CHAPTER VII = THE TEAM LEADER AND THE TEAM

The team leader is the manager of three important external inputs to the institution building process. He has at his disposal technical personnel, funds for commodity and program support, and training opportunities for the host institution staff. These are distinct and separate inputs but they must be managed in concert to derive the greatest efficiency in institutional development.

This chapter is primarily concerned with the management of the technical personnel who form the technical assistance team. It builds upon the background of Chapter VI which describes the role that team members play in institution building. Various factors which influence the team members' effectiveness are also considered, including guidance of the inter-personal relations which insure a team approach, personal accommodations which make for a highest level of performance, professional considerations which affect the team members' future, and finally, evaluation of team members' performance.

The size and composition of the team will have a major influence on the management strategies required from the team leader. The team might be composed of persons with a very homogeneous background such as a single college within one U. S. university. Such a team would be expected to have similar views with respect to the appropriate doctrine, organizational structure and program content for the host institution; and they would normally be motivated professionally by similar expectations from their peers and their superiors. On the other hand, a U. N. team would be composed of members from several different nations with a wide diversity of background and perspective. Obviously the management of these two teams requires quite different tactics from the team leader.

Where members are drawn from the same country, and especially from the same institution, the team leader can trust his own perceptions and managerial instincts much more than if the team members come from diverse backgrounds:

There are many reasons why it would be desirable for the team leader to participate strongly in the actual selection of team members. This is particularly true after the team leader has had some experience in the project and understands intimately the particular role that a new team member must play. While most organizations make every attempt to obtain the best judgment of the team leader in selecting team members, the limitations of project operation are such that team leaders must generally rely heavily on the judgment of other people in supplying individual team members. Thus, the team leader is normally confronted with the general task of taking an assigned set of team members and guiding their collective activities to achieve the best possible institution building results. The team members will have been selected against a prepared staffing plan which prescribes the general accomplishments expected from each position. It is the team leader's responsibility to fulfill these expectations as fully as possible with the human resources at his command.

#### GUIDING TEAM MEMBERS IN INSTITUTION BUILDING

One of the most important functions which the team leader performs with team members is guiding their activities so that the collective effort is to accelerate institution building. A team member is expected to be professionally competent in his own field, but he cannot be left

entirely to his own judgment in determining his total activities. Chapter VI indicates the various transformations which must occur because of the team member's presence. These transformations are found at all levels of relationships within the institution. The team leader has the best overall picture of what is required from his team's efforts, and therefore he must provide continuous guidance to his team members.

There are many activities performed by team members which may be useful in themselves or which may serve additional purposes but which do not contribute directly to the specific major objectives of building a viable, effective indigenous institution. As important as the extra-institutional activities may be, they cannot be allowed to obscure or detract from the institution building objectives. The primary institutional and linkage variables to be affected were described in Chapter III. Given adequate development of these aspects, the institution will produce research results, trained personnel or the other public services expected of it. Furthermore, it should eventually produce these products for its own society more efficiently than could be done by outsiders. Thus the primary objective of the team is to help build this capability rather than to produce the end product of the institution.

#### ACTIVITIES WITH HOST STAFF MEMBERS

The team member is confronted with a variety of problems immediately upon arrival at the host institution. His coming has been announced as an important event in the institution's development and there is an unavoidable expectation that early changes will be forthcoming. He

arrives with little background and understanding of the cultural and political environment of the institution. He suffers from cultural shock and the agonies of getting his family safely established. He is confronted with a decision of whether to take a little time to get his bearings or to plunge in and demonstrate his usefulness early.

Social scientists have deplored the blunders of newly arrived team members in their unwitting attitudes to local customs and mores through ignorance and misperception, and then strongly urge a period of seasoning first. Host nationals on the other hand insist that the team member can be carefully and sympathetically guided by them in these matters if he is engaged in activities of great interest and importance to them.

The optimum role for the team member in the early stages after his arrival requires him to do something which will give him the necessary "technical visibility" and "acceptance" as quickly as possible.

The team leader should assist team member in immediately engaging in the type of activity which he does best and which is closely related to the area in which he will continue to work. This could be to teach a special class, to engage in some type of research or to begin to set up some type of demonstration of a new technology or a new approach which has high probability for being useful in the area.

Implementation of this type of initial role requires prior planning, leadership and support from the team leader. The anticipation and receptivity by the host institution is vital to early effectiveness. The timing of the team member's arrival with respect to the institution's calendar of events of the season of the year has considerable

affect on his first activities. The team leader will find it much more efficient to guide these early activities across the crucial "acceptance" thresholds than to take corrective administrative action later.

The newly arriving team member is counselled by both the team leader and the institutional leadership in determining where his counterpart staff members are in their general development. It will add greatly to the team member's effectiveness if he neither assumes too little nor too much in this respect.

The contribution that is made by the team member at the staff member level is to lend perspective to their technical background; to assess their technical capability toward the important problems of their country; and to develop a productive attitude and philosophy concerning the institution's role and responsibility. Most of these activities are somewhat subtle in nature and are best camouflaged under the aegis of other activities. It is for this reason that many team leaders insist that the team members be assigned a specific institutional responsibility; in any case, the team leader will need to help the team member find the set of activities which will make him most effective in his institution building objectives.

#### ACTIVITIES WITH MID-MANAGEMENT

Most team members have responsibility for influencing all the staff members in his technical specialty, and this often includes the Department or Section head. The contribution to be made at the mid-management level is to provide an environment in which various alternative administrative procedures and decisions can be examined in discussions without

the embarrassing public exposure of administrative ineffectiveness. Since the political implications of administrative innovations are likely to be considerable, the Department Head will wish to experiment with them internally before making final commitments. Hence the team member must establish himself as being competent in suggesting better ways of performing Departmental responsibilities and of devising improved policies. He must also be expert in explaining objectively and dispassionately with and management personnel the relative merits of several alternatives rather than pressing for adoption of his own suggestions.

The team leader needs to establish a forum in which individual team members can seek broader guidance on problems of his particular clientele. He also needs to keep Departmental guidance in harmony with the broad institutional objectives and doctrine. It is again emphasized that the team leader's relationships with team members is most productive as he welds them together into a unified force for institution building; with each team member contributing to a common set of objectives, methods and programmatic commitment. It is all too easy for individual team members to lose sight of the overall institution building aspect in their zeal for accomplishment in the area with which they are primarily responsible. Because of this, the team leader must constantly maintain perspective and coordination among the activities of all the team members. This is particularly important in the early stages of a project before the total institution develops commitment to an innovative meeting and program and to the findings necessary to support them.

The formulation and execution of a Departmental plan will involve the training of individual Department members. The development of

Departmental program and the identification with other institutions in the environment with which linkages must be formed. This will take considerable time, and an unusual amount of activity in any one facet will not necessarily indicate the attainment of Departmental maturity. In fact, individual opportunities on the part of one or two individuals within the department may momentarily deflect the Departmental energies away from the long range plans. One further function which the team leader performs here is to keep the team member's morale buoyed when things go wrong.

A change in Department heads may require a repetition of the entire process or at certain points or if the change occurs before Departmental traditions and programs are sufficiently strong to propagate themselves under new management.

#### ACTIVITIES WITH TOP MANAGEMENT

The team leader will be the primary contact with top management of the institution, but there will be many occasions in which team members can make useful inputs at this level. It is extremely important, however, in the contacts between team members and top management that a common doctrine be reflected and that the team member does not lose sight of the whole institution as the object of the project rather than the particular segment with which he is personally concerned. The team leader will find that team members can greatly reinforce perspectives, attitudes, and technical information for which he has been responsible, but it will be counter-productive to attempt to use them if their input with top management is divisive or antagonistic.

The team leader will find it very helpful to solicit views and perspectives of team members in his relations with top management. This implies continual sharing with team members of the various suggestions and decisions the team leader has under consideration.

#### ACTIVITIES TO BUILDING INSTITUTIONAL LINKAGES

Effective and productive relationships between the host institution, the government, and the public are designed to develop confidence in the host institution and its programs. Top management of the host institution has primary responsibility for the development of these linkages but they have little chance for continuing success unless they are undergirded with functioning relationships at middle management and at the production level. Therefore, contacts at all levels must be in sufficient number and quality to make an impact on government and the public. One important function of all team members as well as the team leader is to encourage and assist in these contacts and developments.

The team leader and the team members necessarily come in frequent contact with business and community leaders as well as with members of the host government in developing the host institution to its fullest development. The normal role of the team in host government relations is a function of team's identification with the host institution. They hold a rather peculiar place as foreigners within the environment and because of this they often have access to individuals in government and in the business community that is not always available to the host institution. These represent unique opportunities for each member of the team to assist in the development of appropriate linkages between

the host institution and its environment. They can also represent inadvertent traps into which the incipient foreigner can fall with serious consequences.

### THE TEAM MEMBER'S PERSONAL COMFORT

There is a strong argument as to the appropriate level at which team members should be supported while they are engaged in an institution building project overseas. If they are treated too well, their affluence could easily alienate them from the host nationals who must necessarily live at a much lower economic level. Furthermore, the cost of maintaining a team member and his family at the level of affluence to which they are accustomed at home may be very expensive and at times very difficult to accomplish in a developing nation. On the other hand, much is required of the team member. He is expected to marshal all of his personal, technical and professional attributes and bring them to bear imaginatively, energetically and aggressively on the institution building enterprise. He cannot be expected to do this if either he or his family are seriously distracted by concerns for their personal health, safety or general welfare. Therefore, the team leader finds himself continually seeking an optimum balance between the extremes of supporting team members completely out of proportion to the local scene, versus supporting him at such a low level that his total attention to the project is compromised. Obviously, it is unwise economics to go too far in either direction.

The team leader has the immediate responsibility to see that newly arriving team members are received and established in quarters that

are consistent with the overall policy established for the project. While this administrative function is normally delegated to non-professional assistants, the team members still regard the team leader as having responsibility for their general welfare. The management problem to be resolved is how to remove the feeling that he is personally concerned for their needs without committing an unreasonable amount of "leadership" time to such mundane matters. In the past, team leaders and team members alike have complained bitterly that the team leader has to spend far too much time on routine and mechanical tasks, leaving too little effective time for the guiding and coordinating activities which only he can do.

Many effective tactics have been reported for relieving the team leader from diverting too much of his personal attention to these matters. Perhaps the best is to employ a local administrative assistant who can usually find his way among the maze of local regulations and customs much better than a foreigner. A "buddy system" where new arrivals are attached to a team member who already knows his way around has many advantages. The team leader can save much of his own time by planning these activities in advance rather than allowing them to fall to his personal responsibility by default.

Several publications have appeared lately that give useful suggestions for preparing team members and their families for living overseas and these save hours of personal attention.

#### PROFESSIONAL DEVELOPMENT OF THE TEAM MEMBER

One of the greatest difficulties encountered in the operation of technical assistance programs is finding competent, imaginative and

productive team members who are interested in serving overseas. One of the major reasons for this difficulty lies in the fact that the role of the team member has not been sufficiently rewarding professionally that he returns home enriched and advanced in his professional capability. There is a feeling that an extended overseas assignment represents "an interlude in professional growth" which must be compensated for by intensive refreshing and recharging upon return to the team member's home institution. There are many other factors, however, that it is not necessary for a team member to lose so much professional ground in his overseas activities. It is the function of the team leader and his administrators, not only to recruit highly competent staff members, but to design for them a role which will be in their best professional interests.

There are many activities which can be designed into the team member's role with the host institution which will be quite rewarding in terms of his own professional growth and stature, but these generally must be planned for in advance. While the major function of the team member is institution building, he is often cast in the role of a member of the host institution staff and a colleague of the host staff members in his particular discipline. Experience has shown that he becomes most productive, both as an institution builder and as a professional, if he is assigned a specific responsibility within the host institution rather than being regarded as an outside "adviser." In carrying out his assigned tasks as a member of the institutional staff, he will be required to call upon all of his professional abilities and background,

and he will be given the opportunity to exercise these in a completely strange environment - a task which in itself will demand considerable imagination, flexibility and professional expertise. Such an assignment will require him to marshal new reinforcements in the way of technical literature from all over the world, and the absence of sophisticated equipment and supplies will extend his ingenuity to the limits. These conditions may be regarded by the team member as severely limiting his professional productivity. But in fact, it provides him with the opportunity to demonstrate to his host colleagues the type of ingenuity, ideas and flexibility in solving problems which they themselves must eventually display. This process of being required to implement certain principles of his discipline in a completely hostile environment usually brings new light to the team member's understanding of his own professional field.

If the team member's activities in the host institution are to be most rewarding professionally, they should be anticipated and plans made for their execution prior to his arrival. Thus, certain supplies and equipment may need to be ordered well in advance of his arrival so that their delivery will not unduly delay progress in his professional activities. It is quite possible that the host institution of the team member's own home department will have rather strong preferences with respect to activities which the team member can perform and which will be most rewarding to them as well as to him. If the host institution and the home department participate in identifying these activities, their cooperation will be insured.

The team member should be required to report progress on his professional activities in the form of papers or written reports that are prepared for his professional peers and not just as reports to the team leader or to the project administration. One of the greatest dangers to the team member during his participation in the institution building project is that he will allow himself to become professionally stagnated because he does not feel the responsibility for reporting on professional innovations and insights as he could at his home institution. Thus, the team member should not only be given the opportunity for reporting in his activities professionally, but he should clearly understand that such reporting will be an integral part of the total evaluation of his performance.

Warning against the stigma of lost professional advancement for potential team members requires the team leader to emphasize the opportunities that are present. These possibilities should be adequately explained during the recruiting of team members and continuously throughout the member's tenure on the project. Membership with the institution building team carries with it untold opportunities for applied research; the gaining of administrative-managerial experience; new opportunities for publication and writing and for developing new teaching techniques and materials. These are all facets of one's professional activity and growth, and as such, need to be positively emphasized and acknowledged.

For the professional team member going abroad, this experience carries with it the opportunity for extending not only his own professional horizons, but the extension of the profession itself. By

assisting in the professional development of others he adds to the growth of his own profession. This fact requires emphasis for the home institution and the sponsoring department. Furthermore, successful institution building in technical areas requires the building of sound professional linkages and ties on an international basis, through which the host institution can continue its innovation and growth by keeping up with changes in technology. This will be realized best by the host institution if it has adequately developed meaningful associations with visiting professionals. The extent to which these professional linkages develop should become one of the measures of project maturity.

Thus it is clearly a responsibility of the team leader to guide the performance of the team member and in helping him find the proper balance between his own professional development and the institution building activities for which he is employed. The team leader is a catalyst in the area of professional development. He performs much the same function for team members as does a department head in the home institution. He encourages professional development and expression, supports it through the provision of resources, and rewards good performance through additional resources, promotions and salary increases. The team leader must be conscious of these three responsibilities:

#### EVALUATING THE PERFORMANCES OF TEAM MEMBERS

In his administrative role, the team leader not only has the function of influencing the professional development of individual team members, he also has the responsibility of evaluating their performance. This

evaluation is a necessary part of the team member's professional record. It will be used by his home institution in deciding whether the team member's performance merits salary increase or professional advancement. It will also be very helpful in determining the team member's usefulness in future overseas assignments. Handling the tensions which the evaluative function sets up between the team leader and the team members is not peculiar to institution building projects, but overseas assignments tend to bring the team leader into especially close touch with the personal as well as the professional lives of team members. The evaluative procedures therefore need to reflect this closer relationship.

A word of caution needs to be introduced here, both for the team leader and for the external assistance agency whom he represents. The evaluation of a team member's performance must necessarily be done within the framework of the assignment which was given to him and within the limitations which were imposed upon him by his administrators. Therefore, if a team member was improperly guided in the institution building activities to which he was assigned and if he was unnecessarily constrained in the professional activities which he wished to undertake, it is both professionally unethical and administratively impractical to hold the team member responsible for these deficiencies in evaluating his performance. Thus, the evaluation exercise takes on the dual characteristic of judging the team member's response within the environment in which he found himself as well as judging the team leader's capability in making that environment as productive as possible.

The appraisal of team members' actual performance and capacity to perform more effectively is greatly complicated by the very nature of the institution building team and its assignment. Team members are highly trained professionals representing several different disciplines or professions. However, for many, this assignment will be the first with an institution building team. It may be their first experience living abroad. Many team members are short-termers in the sense that their long-range interests and careers span back to their home institution and to their professions. Work in a foreign setting may be under quite different conditions. Problems of family adjustment will be carried to the job. Team members will not be performing the same professional functions that they did at home. All of these factors must be taken into account in judging an individual team member's performance. They can be mitigating factors that explain slower progress, but they cannot be accepted as excuses for lack of personal and professional dedication to the project objectives.

What standards of performance are to be used? The most effective standards of performance are those that are developed jointly by the team leader and the team member immediately after his arrival. These include a clear, written statement of what the team member is expected to accomplish and a reasonable timetable of action. Evaluation against these standards can then take account of extenuating circumstances beyond the team member's control.

Appraisal should not be tied to the team member's normal advancement which he would expect were he back home, -- including pay raises or promotions in status. Agreements with the individual's department

head prior to the person's departure should be made covering promotions and pay raises based on his normal progress while a member of the team. In other words, the team member is making a contribution to his home institution's commitment to international programs. The team leader, in this instance, has the responsibility to insure that the home institution will look upon the individual's assignment with the team as part of his professional development as well as an addition to the institution's overseas program. In turn, the team leader and the team member jointly share the responsibility of reporting his progress and activities back to his parent body on a regular basis.

Any number of performance questions can be developed by the team leader to facilitate his appraisal of the team member. The following are but examples:

1. How well does the team member understand the operational objectives and goals of the institution? The doctrine?
2. How well does the individual interact with his counterparts host nationals? With others in different organizations? With the host institution clientele?
3. Does the individual carry his share of the team load well and cooperatively?
4. What are his attitudes toward his major function: teaching, research, extension, etc.?
5. How well does he execute his function?
6. How well does he contribute to the professional development of the host institution and its members?

7. Is the individual having difficulty adjusting to his foreign setting?

8. Is the individual's family having adjustment problems which affect his work?

9. Does the individual exhibit leadership qualities in his professional area?

Any appraisal system for team members will have the additional benefit of providing a bit of self-appraisal for the team leader. An assessment of team performance, capabilities and potential is also a test of the team leader's leadership. How well the team leader can provide for the needs of the team, develop them into a cooperative, working team toward the objectives of the host institution will determine how effective the team leader has been.

## CHAPTER VIII = THE TEAM LEADER AND THE HOME INSTITUTION

Introduction

The Home Institution's Basic Expectations

Institution Building First

Communication

Formal Reports

Project Monitoring

Recruiting Team Members

Depth of Commitment of the Home Institution

Participation Training

## CHAPTER VIII - THE TEAM LEADER AND THE HOME INSTITUTION

Much of the institution building activity that is supported by funds from external assistance agencies is channeled through a contracting agency. The term "home institution" is used here to distinguish between the contracting agency and the funding agency. The home institution may be a university or a consortium of universities; it may be a department of the Federal Government which has subcontracted with the Agency for International Development to assist in an overseas project (DASA); it may be one of the family of action agencies of the United Nations such as FAO or UNESCO; or it may be a private foundation or corporation. The team leader is project manager for the contracting agency and in this role he must clearly understand the expectations of his home institution and the home institution in turn must recognize him as the "on site" manager. It is to perform his complex administrative role with a high degree of efficiency.

### THE HOME INSTITUTION'S BASIC EXPECTATIONS

If the home institution is a university, a consortium of universities or even another Department in the Federal Government, it will have a variety of reasons for being involved in technical assistance overseas. The home institution may conceive its own institutional programs as being greatly enhanced if its staff members have the opportunity of broader contacts overseas. This would permit them to bring their experience and insight to the home institution's own programs. These are insights that perhaps could not be gained more efficiently through some other approach. The home institution may feel a moral responsibility to assist in discharging the national commitment in providing technical assistance, especially

where institution building involves the home institution's pecuniary capabilities. The home institution may have a large number of staff members who personally would like to participate in overseas activities, and these desires can better be satisfied through a contract by the home institution rather than through unsustained participation on leave-of-absence leave. Often a small number of faculty members become interested in a particular area and persuade their university to accept a contractual responsibility. Home institutions may also regard the "income" from indirect charges as a useful degree of flexibility in utilizing their total resources.

If the home institution is an operating agency of the U. N. family, it will have a specific charter which requires it to implement all projects in a particular field that are funded by the United Nations. Within this overall responsibility, however, there is considerable latitude for accepting the additional projects that will enhance the image of the agency, that will keep its permanent staff fully occupied, and that will expand and strengthen its world posture.

Private corporations are involved in international development activities for purely business reasons. They may be organized specifically to engage in international technical assistance, in which case their image as an efficient implementer of technical assistance projects is crucial. On the other hand, much of their activity may be domestic but the international projects are highly complementary to their other activities in the full utilization of their corporate resources.

Foundations see their role as providing experimental approaches for innovative programs, and their commitment has traditionally been to

provide "seed money" to get a program started. Foundations and non-profit corporations may also be committed to institution building as a means for the advancement of human welfare. Their flexibility in operational style permits them to start activities which may later be picked up by more bureaucratic resources.

It is obvious that the team leader must know what priorities the home institution attached to these overlapping purposes when it engaged in this project and what it therefore expects from this project if he is to be successful in their eyes. They have entrusted him with creating and defending their image abroad. They will give him a certain degree of financial responsibility and they will entrust to him many features as a personnel manager. It is highly necessary that he understand, not only what is expected of him, but he must clearly know what level of responsibility has been delegated to him, what authority he has to act on his own decisions and to whom he reports. These needs, commitments and priorities often are clearly identified where the home institution is a federal agency under a FASA arrangement. A few agencies such as the U. S. Department of Agriculture provide the team leader with an Overseas Manual which details policy and procedures to be followed as well as agency expectations in the project.

The home institution will have a project officer in the home office who has primary responsibility for overseeing and servicing this project. What are his responsibilities? What is his authority? What is the division of responsibility and authority between him and the team leader? Much grief and misunderstanding can be avoided if these questions are explored prior to the team leader's departure for the overseas assignment.

## INSTITUTION BUILDING FIRST

The team leader will normally have a document which describes the agreement that was finally reached between his home institution and the external assistance agency. He may also have a different document which describes the agreement between the external assistance agency and the host government or the host institution. These documents represent the legal and binding commitments by the various parties. However, the team leader must recognize from the outset that these agreements were probably reached after a series of compromises and trade-offs which were made by each of the parties involved. He would be well advised to learn as much of the background of the negotiations as possible. This will give him much more insight into the full expectations of his home institution than he could possibly gain from just reading the final documents which emerged. If he does not know what the compromises were, there will be little opportunity for him to exercise administrative ingenuity in satisfying the home institution's expectations in this respect.

The central fact still remains, however, that the home institution has agreed to assist in an institution building project, and whatever else is expected from the team leader, he will be expected to be quite efficient in institution building. He might ask several pertinent questions: In agreeing on the project, did the home institution discuss the institution's definition of its program? Were expectations developed which never became expressed in the formal documents? If so, do they agree with what the team leader would have assumed from the public documents? Is this project of highest priority, or is it a reluctant part of a larger aid package? These are matters which are too important to be left to chance or conjecture - they should be determined explicitly by the team leader.

## COMMUNICATION

Communication is basic to coordination and to smooth working relations with the home institution and at best it is difficult because of the time lags inherent in the situation. Communication takes many forms and it serves many purposes; and the team leader would be well advised to place good communication high on his priority list of activities.

There are Department Heads who will be supplying team members but who are not enthusiastic over the program; there are strong supporters who are anxious to hear how well things are going; and there are responsible institution administrators who need to keep abreast of the general development of this project along with many others. All these need to receive frequent information.

There are formal reports required by every contract and by every party to the project. Writing reports becomes the bane of a team leader's existence; especially if he allows report writing to be looked upon as a chore which cannot be avoided rather than an opportunity to inform colleagues and administrators of activities and developments and to generate interest in the project. The next section will deal with the matter of reports and how these might be written to satisfy the largest number of interested persons with the least amount of effort. What we want to emphasize here, however, is the need to go beyond the formal reporting that is required of the project and to encourage a continuous flow of communication between the team leader and various members of the home institution who have reason to be interested in the project's performance. This will include Department Heads, Division Heads and selected technical personnel.

Imagine, for example, the type of communication that might go on between the team leader and his superior at home if they had coffee every morning together. They would, of course, discuss many inconsequential matters but they could also exchange views which over a period of time build a philosophy, a philosophy, and, ultimately, project policy which undergirds mutual confidence and respect. It is impossible to expect that the home institution will continue a string flow of queries and backstopping activities nor will it continue to delegate responsibility. It is hard to see from the team leader or the team members concerning the progress and activities on the project. A single letter or a home consultation with respect to those of team other people could build interest and support with the home institution much faster than simply relying on the contribution of the project officer to circulate a report each time it is written. There are very few recorded cases where a team leader sent too much rather than too little information to the home institution. There perhaps are still fewer recorded cases where the team leader sent copies of his communications to the home institution for too many different individuals. For instance, a team leader's time in thinking about the individuals in the home institution who might be interested in a particular report and asking the secretary to send copies to these individuals can often save many days of developing background and interest when some direct service of assistance is needed.

The team leader will find himself beset by a large number of activities which make demands on his daily routine. In spite of all of this activity, however, he will feel very much alone and isolated at times. He will develop the feeling that he is carrying the burden of the

entire project all by himself. He will long for the opportunity to share some of his problems and to solicit judgments and suggestions from sympathetic colleagues back home. This can be done via mail, but only if he has been careful to keep those individuals informed and interested in the project's activities.

Communication with the home institution is not a one-man job. It is highly important for every member of the team to communicate with appropriate individuals in the home institution. Each of the team members will have a perspective or a set of activities to report which will be of interest to different persons in the home institution; and the team leader should constantly encourage team members to keep a running correspondence with their colleagues back home. It is advisable for the team leader to impress upon team members the need for providing him copies of all reports and correspondence that they transmit to the home institution, external assistance agency of host institution and government. This courtesy will prevent the possibility of embarrassment for both team leader and member by keeping the former on top of communications.

The team leader will normally visit the home institution periodically to attend to other administrative matters. He would be well rewarded if he allocates some time during each visit to closing the communications gap. A phone call or a thirty minute visit in the office of each administrator who has supplied a team member would provide opportunity to report on the team member's progress and needs. These simple, personal gestures are richly repaid in backstopping and interest.

#### FORMAL REPORTS

Recent surveys of project reports indicate that they leave much to

be devoted to conveying clear and objective descriptions of institutional progress. Many reports give the impression that the writer did not really know what facets of the project were important to the reader and hence they cluttered the report with inconsequential details. Other reports were obviously so defensive in character that they distracted more developments to absolute difficulties that had not been resolved. Good reporting is not an easy task for any team leader, and many people have difficulty in expressing their thoughts succinctly without an enormous expenditure of time and effort. Even so, a painful fact of life is that every technical assistance project requires periodic reporting. It could be helpful, therefore, for the team leader to develop a strategy for producing the most useful reports with a minimum expenditure of energy.

The first point to tackle in report writing is to reduce the number of different reports required to a minimum. Recall again the number of different groups of agencies that have a vested interest in the project: Each of them will want a periodic report, and each will tend to specify both content and format. There is the hope of logic, however, that instate that all interested parties will wish to be informed on certain basic materials, and these will normally comprise the bulk of the information requested from all quarters. Therefore, a good starting point in developing a reporting strategy is to outline this core information that each group will want. Develop a reporting format that you are comfortable with and is acceptable to the user--and stick with it.

The basic information desired by all parties is that which reports progress, problems, needs and plans for each of the basic elements of institution building. A rough outline for the core report, therefore, could list the topic headings from the institution building model presented

in Chapter III. A suggested report outline is given in the Appendix. Factual reporting on the development of institutional leadership, doctrine, program and resources, and the progress made in forming the linkages to society is at the very heart of each agency's interest in the project. Details are useful in documenting general observations on these issues, and they take on much greater significance when placed in this context. Except for standardized, preprinted reporting forms, likely required for AID or other governmental agencies, the team leader could use much the same outline for each succeeding report if it spoke to the project essentials in this fashion. But even with standardized reporting forms, which follow the same format for each successive reporting period, the same kinds of information are required as in other types of reports for other users. Once he became accustomed to thinking and writing in this vein, the team leader would find the reporting chore greatly reduced.

A common problem in reporting is that report users often fail to specify the information desired. Consequently people in the field lack a clear idea of what information is expected. This is compounded by the recipient's failure to periodically review and assess his information needs. Thus, much of the burden for effective reporting rests with the team leader and his field staff.

Almost every one is interested in the team leader's projection of project needs. Again, this can be outlined, documented and defended concisely and convincingly if it is cast within the framework of the key elements of the institution building process. The estimates of time required for achieving specific goals can be derived in meaningful terms if one thinks in terms of the time needed to develop leadership to a

given level of experience in a specified number of positions. Acceptance and commitment of staff and leadership to certain doctrinal features can be described in terms of strength of commitment or the number of staff who have changed from one attitude to another, rather than insisting vaguely that these matters take a long time.

Changes in the social, political and economic environment of the host institution are of interest to all parties to the project insofar as they affect the institution's ability to develop and to interact with society. The linkage categories described in Chapter III are useful guides in focusing attention on the important aspects of the environment and the types of interaction that deserve attention.

What is suggested here is that reporting can be greatly simplified and made more widely useful by identifying the major topics that all parties are likely to be interested in and where possible, developing a single report for the use of as many as is feasible. There may be a few sensitive points which require more discreet treatment and should be written for the home institution only, or there may be a few details that are required by only one party. These can be added where needed. The home institution is likely to require the broadest and most inclusive reporting, and if the team leader writes for it but with the other groups in mind at the same time, he can perhaps save himself many hours of producing separate reports.

#### RECRUITING TEAM MEMBERS

The team leader's relation with the home institution must encourage a strong recruitment program to supply top quality team members. The team leader has several responsibilities in this respect.

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In the first place, he must make the home institution aware of the staffing needs as far in advance as possible. Ideally, a staffing pattern for the anticipated duration of the project would be maintained as a normal working document of the team leader, and both he and the home institution would review it at regular intervals. This is necessary because staffing needs are determined, in part, by project plans for expansion of the host institution. Furthermore, such projections are entered into by key officials of the host institution. This requires that the team leader be fully informed on any plans by host nationals for future expansion and any impending policy decisions by the host government, in order to project re-employment needs. Anticipated staffing needs will also be dependent upon funding policies by the External Assistance Agency. Beyond these considerations, it is very difficult to interrupt the program of a highly productive staff member on short notice and send him overseas for an extended tour. If the home institution is able to anticipate such staffing requirements in time to make reasonable adjustments in their own program it will be much more inclined to supply its best personnel.

In selecting the new team member both the team leader and the home institution must look at the effect of the overseas tour on his subsequent professional career. Therefore, in anticipating staffing requirements, it would be most helpful if the team leader described the position to be filled and the functions to be performed, and in addition the professional opportunities that could be made available in connection with the position that would enhance the new team member's professional background. This is a function which can hardly be accomplished by anyone else in the system and it will often require considerable imagination and initiative on the

part of the team leader if he is to attract from his home institution outstandingly qualified professional individuals.

In anticipating the need for new team members, the team leader should continually attempt to estimate the time required for the team member to make specified progress in the institution building exercise. What should the new team member be expected to accomplish within a one or two year period? Should he be recruited for a short period of time and then extended? Or should he be recruited for a longer period of time with the possibility of changing his role after he has been with the project for a couple of years? These are questions which the home institution needs to anticipate in recruiting new team members. The team leader would do well to remember that good team members make his own job easier while poor team members make it impossible.

In retrospect, many former team leaders see the need for a team leader to consider the qualifications of the wife of a prospective team member right along with the qualifications of the team member. The question becomes one of to what extent a wife will be a genuine asset to her husband rather than a culture-shocked, complaining foreigner who is likely to be more of a liability. Arriving at such conclusions about a wife prior to her coming to the field is not as easy as assessing the husband's qualifications. But experience suggests that any insights about how well a team member's wife will stand up under the strains of living abroad, especially under possible primitive conditions, is a necessary part of a realistic recruiting program.

#### DEPTH OF COMMITMENT OF THE HOME INSTITUTION

A decision to engage in a technical assistance project is often

reached by top administrators in the home institution with a minimum of involvement by the Department or Section Heads who have to supply the personnel. Even if they have been advised that the home institution is undertaking a contractual responsibility there may often hope that they will not be "let-down" for their best personnel. Furthermore, a Department Head may well feel that his department's primary responsibility is to the domestic scene and therefore his support of the overseas project will receive secondary consideration. Such an attitude could reflect in the quality of personnel he will supply as team members, in the type of technical backstopping he will provide to the team members, and to the type of treatment afforded host institution staff members who are sent to this department for training. The team leader has many factors available to him for deepening the commitment of responsible individuals throughout the home institution to the successful prosecution of the overseas project.

One of the most obvious factors in generating strong support on the part of a Department Head from the home institution is to invite him to visit the project with a view to assuming considerable responsibility for the technical structuring of the program in his particular discipline. This will provide a useful input in terms of the quality of technical programming, but an even more useful asset to the project will be a continuing interest on the part of the Department Head in an activity which he has helped to design and about which he knows a great deal.

A second factor that generates strong support from the home institution at the department level is to generate collaborating activities between the host institution and the home institution. That professional people are happy to engage in exchange of technical information, to design collaborative research exercises, to exchange students or junior staff

members, or any other type of broadening professional intercourse.

This type of activity will be extremely useful in bringing the host institution into broad contact with individuals outside of his own country and will lay the groundwork for continuing exchanges long after the technical assistance project has expired. The important element addressed here, however, is the need to have a department of the home institution to develop a broad sense of professional friendship with the host institution. This will greatly deepen and strengthen the home institution's commitment to the project and it will consistently increase the quality of backstopping which the team leader can expect.

A third factor for deepening the home institution's commitment to the overseas project is to be sure that each team member is engaged in professional activities that will broaden their vision and understanding of their professional field that they become even more productive when they return home. This has already been alluded to earlier but it is so important that it is underscored again at this point.

Not all institution building projects will draw the team members from the same home institution. This is the common situation, for example, in population projects where professional team members may come from different U. S. institutions and likely from several different nations as well. A project with team members drawn from different U. S. institutions may well be the case where agriculture in the area served by the host institution is highly diversified and it is impossible to supply well qualified staff for all subject matter areas from the home institution. However, the project team leader may not come from the same home institution that has contract responsibility for the project and

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has supplied the team members. These possible situations challenge the home institution's depth of commitment to the institution building process and considerably increase its backstopping obligations:

## CHAPTER IX = THE TEAM LEADER AND THE EXTERNAL ASSISTANCE AGENCY

Basic Expectations of the External Assistance Agency

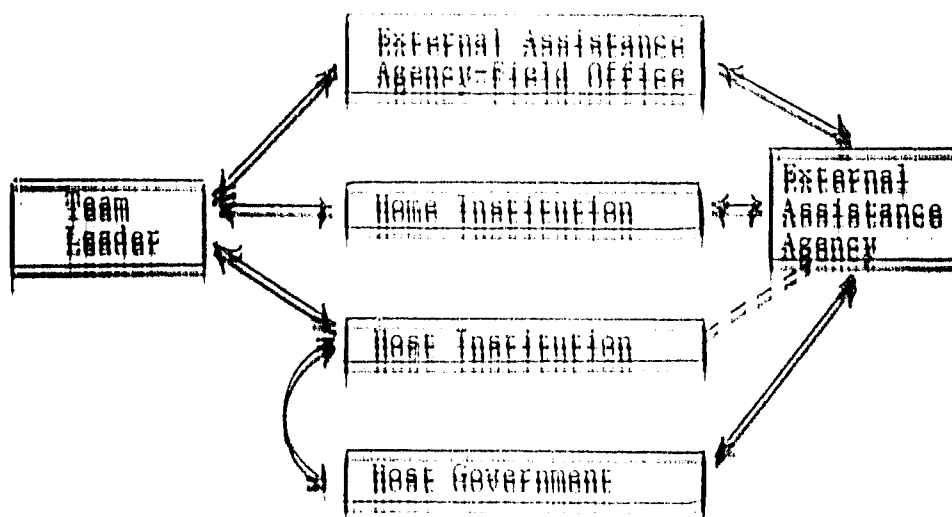
Building A Working Relationship with External Assistance Agency

Communication and Reporting

## CHAPTER IX = THE TEAM LEADER AND THE EXTERNAL ASSISTANCE AGENCY

The term "External Assistance Agency" (EAA) is used to denote the primary agency that supplies technical assistance funds. It is represented by AID, ID Development Program, Foundations, OAS, etc., and is distinguished from the operating agency such as a contracting university or FAO.

The team leader's relationships with the External Assistance Agency are seldom direct. They occur through the field office of the agency, through the team leader's home institution or through the home institution of host government, which usually means through the EAA field. The following diagram will illustrate the normal flow of interrelationships between the team leader and the External Assistance Agency:



The diagram implies the normal communication channels with respect to the interrelationships between the team leader and the External Assistance Agency. For example:

1. He almost never approaches the External Assistance Agency home office directly. Instead he goes through one of the intermediate contacts to whom he is subordinate. This procedure is followed to insure that all

parties to the contract are fully informed. Though this procedure is important, it tends to aggravate the communication problem.

2. The External Assistance Agency may have many other projects or contracts with each of the intermediate agencies. The team leader must expect, therefore, that judgments about requests or recommendations he makes are bound to be influenced by other considerations than just his project. For example, AID may have several contracts with a single host country or it may be supporting several projects with a single host country initially. Broad allocations or allocation of funds could well override urgent requests from the team leader for his project.

3. It is reasonable to assume that the development of the host institution is a high priority objective of EAA. Otherwise it would not have been funded. However, there are many additional requirements of host government for development and therefore the host institution must continue to make its case before EAA. In this sense, the EAA should be considered as another institutional linkage that must be cultivated.

#### BASIC EXPECTATIONS OF THE EXTERNAL ASSISTANCE AGENCY

The team leader's relationships with the External Assistance Agency will be greatly enhanced if he understands rather completely the basic expectations of that agency with respect to this particular project. What were the factors considerations that motivated EAA to fund this particular project? How does this project fit into the system of projects which EAA funds in this country? What are the basic policies of EAA with respect to funding technical assistance projects in general?

and institution building projects in particular? What is the general time frame within which institution building projects are funded by EAA? The above questions point up the understanding that the team leader can use to develop strategies for meeting EAA's expectations for the project.

EAA's expectations are normally described in concrete terms in the basic contract with the team leader's home institution. This contract will contain sections entitled "scope of work" or "terms of reference," and they often include a "plan of work." The team leader will soon learn, however, that the details in the contractual document are seldom adequate to providing a full understanding of EAA's expectations. It can be taken for granted that the basic and most important expectation is that the project will contribute efficiently to the institution building process at the host institution. EAA has undoubtedly determined through prior study that the improvement of the host institution would contribute significantly to national development, and on the basis of this finding, has decided to allocate some of its funds to this end. Within this assumption, however, the team leader needs to understand what aspects of the host institution are regarded as high priority needs by EAA; he needs to know how long EAA will support this endeavor, and at what level. Furthermore, he needs to know how EAA expects its inputs to be related to the host institution's inputs and commitment. There are a number of ways the team leader can either find out these expectations when they are not explicitly spelled out in the contract or supplementary documents, or assist in developing them jointly with EAA. His predecessor may be aware of them, the EAA

country representative may be helped, and other answers will come through communications directly with the EAA.

EAA will report several functions from the team leader. It will, of course, report him to be an efficient manager of the resources which they have provided through the contract. The earlier chapters have delineated many ways in which this efficiency can be realized. EAA will also report periodic progress reports on how well the project is doing. These reports will indicate the degree to which the contractor is complying with the details of the agreement. But even more importantly, they need to provide a continuing report on the institution building progress, on the changes in inputs which are required, and on the time frames within which these funds are needed. Thus, they will look to the team leader to keep them informed through appropriate channels; and the vice team leader will look upon this obligation more as an opportunity to prepare the ground for changes he would like to attempt and to build a generally favorable climate for the project in EAA.

#### BUILDING A WORKING RELATIONSHIP WITH EAA

It is not uncommon for the team leader to find himself so closely identified with the host institution and its problems in operating resources that he loses perspective on the specific function of external resources in institution building. Such resource inputs should always be regarded as "seed money" and the justification for their coming from external sources lies in their capacity to introduce innovative change and to support such innovation until it is sufficiently institutionalized.

that it becomes supported from local funds. It is incumbent upon the team leader and the EAA to constantly review the institution building process and to alter strategies in such ways as to encourage the development of local support. It usually becomes the job of the EAA field office to apply pressure where necessary and to clarify the perspective of the team leader through the monitoring process to accomplish this aspect of institution building. (See Chapter XI) The team leader would do well to appreciate rather than to resent such strategy inputs.

The External Assistance Agency also has an important role in the monitoring process in determining the degree to which this particular project is being coordinated with other development projects in the country. The various institutions making up the system of services which support a particular area of activity in the country needs to be coordinated and become complementary rather than antagonistic and competitive. The policy of any one institution has a setting imposed upon it if the other elements in the system of services are poorly developed. This perspective is normally not the direct responsibility of the team leader, and therefore he needs the assistance of EAA in the monitoring process to insure that his project will have major impact on and a proper place in total national development. At the same time the team leader's closeness to the host institution makes him much more expert than EAA in assessing the host institution's capacity to absorb external help in various forms and to judge its most efficient timing and duration.

PAA is under its own set of bureaucratic pressures and is strongly tempted to turn the flow of resources off and on with more regard for PAA's own problems than for those of the host institution. The team leader can perform a useful service to both institutions by mediating these demands.

Again, it is emphasized that the monitoring process is extremely useful to the team leader in keeping the project efficient and productive; if it is performed in an atmosphere of helpfulness and coordination, it can give the project additional value in the host society. It is incumbent upon the team leader, not only to require a continuous monitoring exercise, but to insist that PAA participate in the monitoring.

#### COMMUNICATION AND REPORTING

The importance of communication was pointed up in Chapter VIII in speaking of the relationships between the team leader and his home institution. Many of the same arguments and points of emphasis are pertinent in the relationship between the team leader and PAA. Communication with PAA country mission may be more difficult than with the home institution because the team leader does not belong to the PAA organization. Under these circumstances communications tend to be more guarded and bureaucratic in nature. There are, of course, formal reports which are required by the contract and these are designed to be as informative and helpful as possible. Recognizing that the collective reporting requirements from all the agencies involved in the project could create a disproportionate amount of the team leader's time, a number of suggestions are made in Chapter VIII for reducing

this there to a minimum while still satisfying the basic needs.

There is, however, a whole spectrum of communication which can be very useful to EAA, and the team leader's relationships with EAA will be greatly enhanced if he provides many of these. One type that is extremely useful to EAA is a continuous flow of vignettes of interesting experiences in institution building. These might be portions of case studies, interesting anecdotes or simply an account of an exciting development within a small segment of the host institution. The reporting of unusual strategies that were attempted and the circumstances which caused them to be either a success or a failure are always of interest to EAA. Notes on personal recognitions of successful accomplishments of host institution staff or team members is welcome news. Few of these items may find their way into the formal reporting process, but they add a great deal to EAA's understanding of the environment and the progress within the institution. These items are also often used by EAA for publicizing and justifying its program. Reporting "small victories" should be identified to the EAA as just that -- small victories. The object is to keep the EAA abreast of what is happening to insure continued support for the project; but also to keep them from blowing out of proportion situations, circumstances and components of the project that are relatively unimportant. You don't want the energies and attention of the project sidetracked.

Be careful with your facts before they are reported. Take the following situation as a lesson. A vasectomy camp was held in a certain district with the help of Y Foundation consultants. Over 400 men

underwent the simple twenty minute procedure and each received Rs. 20 for their travel to and from the camp. This indeed is worthy of reporting. But now look at the facts as the consultants did after reporting their accomplishments: At least half the men were over 50 years old; some with no wives and a few who had had an earlier vasectomy. This news was published in the host country. The effort was discredited; and the Y Foundation earned undesirable publicity.

Recent studies of formal project reports indicate that in general they leave much to be desired. Many read as though they were briefs for defending a client. The team leader seems to search the team's experience for successes and to hide his difficulties in the bottom file. While this is a perfectly human approach to project reporting, it is far from the most effective way to pass on information about the institution building process to EAA. If the team leader can bring himself to a frame of mind in which he feels that both he and EAA have a strong commitment to the same purposes, and that his reports would be read more in the vein of discussing objectively the project's status, he would provide a much more useful document. The team leader needs some assurance from EAA that these "negative" facts will be taken in the vein they are given, however. Frank discussions with EAA and experience will tell whether they are. Reaching an agreement on this is important for more than one team leader has experienced feelings of exultation after having been honest in his reporting. If EAA is to have high confidence in the team leader's performance and in the overall value of the project itself, there must be a high degree of credibility in

in the reporting process. This would require a much more analytical style of reporting than is commonly found at the present time.

Team leaders have raised the question of whether the External Assistance Agency is required to respond to correspondence transmitted from the project. For several types of correspondence, such as reports, the obvious answer is no. But the EAA should be required to always acknowledge receipt of any kind of correspondence on project business. This is something the team leader should insist upon. Remember, the EAA is part of a larger bureaucracy. If a report is due at a specified date, you want to know it has been received and not embarrassingly find out six months later that it was lost in the mail.

It would be very instructive for the team leader to spend a few hours reading past reports from his own project, or better still, looking at a series of reports from some other project with the specific objective of gaining real insight into how well the project was performing. Formal reports are best considered as chapters in a continued story which deal more with the basic processes of institution building, the influences which affect the rate of development, the strategies that have been attempted, the mix of inputs that have been employed and the rationale for their continuance or change. This type of documentation will not only be helpful to EAA, but it will be most rewarding to the team leader himself in maintaining appropriate insight and perspective of the job at hand.

Information like the above can be gathered into an "information kit" containing charts, graphs and tables which tell the story of what

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the project stands for; what it has accomplished and plans to accomplish. All projects will have had colorful events which can be reported as part of project history. An information kit can take the part of a local "Chamber of Commerce" doing a public relations job by telling the project's story to visiting dignitaries and interested parties in FAA and the home institution. The little extra effort to prepare this kit will pay handsome dividends from the public relations job it does.

## CHAPTER X = PARTICIPANT TRAINING

### Major Purposes of Overseas Training

- Institutional leadership
- Basic technical training for staff
- Up-dating of staff

### Timing of Training Programs

### Major Steps in the Training Program

- Establish institution's needs and priorities
- Selection of trainees
- Plan individual programs
- Follow-up during training
- Re-entry to host institution

## CHAPTER X - PARTICIPANT TRAINING

Every institution building project will involve training of host staff members and it is common for technical assistance projects to have access to funds for advance training of selected host staff members overseas. This "participant training" program is one of the most highly prized elements of technical assistance as far as host institutions are concerned. It may be only a small part of the total staff training that is provided, but it represents a major force for changing technical competence and for broadening technical perspective. Therefore, the team leader must be sure that the strategies employed in the participant training program are closely related to the overall institution development plan.

### MAJOR PURPOSES OF OVERSEAS TRAINING

Three major purposes are satisfied through the overseas training program; namely,

- 1. develop institutional leadership
- 2. provide basic technical training
- 3. update staff

These purposes are normally fulfilled through quite different types of programs. Therefore, flexibility in the programs available is of great importance.

Institutional leadership - needs to see various ways that programs similar to theirs are conceived and implemented. They need to talk to administrators of other programs, to see new technologies at work, and to excite their imaginations on alternative ways to structure their own

institution. They need to inquire into institutional practices used elsewhere, and they need to see how others develop institutional linkages.

This form of leadership training is needed very early in the life of the project. In fact, it is probably most productive when performed as a prelude to actual initiation of the project. It involves one to two months of visitation to locations carefully selected to give a broad spectrum of programs. It is most effective if two or three institutional leaders travel together and have opportunity to discuss the relative merits of each program as it is visited.

This type of "participant training" helps establish the basis for future training of staff members throughout the institution. Initially it will involve only the key members of the top administration. Later it will include mid-management personnel who will have responsibility for satisfying the training needs in their own departments. This will be particularly important for highly respected older administrative personnel. They perhaps cannot be expected to go abroad for an advanced degree, but they can be useful and effective institutional administrators of younger staff members if they have the benefit of a short training program.

Basic technical training for staff will absorb the major part of available training funds. It will involve programs of six months to three years depending on whether a narrow field of skill is required or whether an advanced degree will best fill the institution's needs.

The urgent requirement is to form a "critical mass" of technically trained staff as quickly as possible. This means having a sufficient number of staff trained that they mutually reinforce each other in doctrine

as well as in technical matters. Recall that the total number of such trained persons in the environment will be small at best, and it will be very easy for a trained person to become frustrated and discouraged if he is isolated technically.

Staff members who have received good training abroad tend to rise quickly in the administration of the institution or to be lured away by other governmental agencies and this usually occurs before they can train their own replacements. Therefore, the total number of trainees required by the institution normally will far exceed the initial estimates.

Updating of staff - is a never-ending process, and it usually begins soon after the other training programs are underway. Again this usually involves a short time of up to six months, but it is vital to the institution's ability to continue to serve society.

#### Timing of Training Programs

The training of institutional personnel takes the longest time to accomplish, and therefore it should be started at the earliest possible moment and should receive highest priority early in the project. This cannot be done, however, without some pre-planning of the institution's new role and doctrine and some idea of the programs which will be undertaken. Thus, all of the elements of institution building must receive some attention from the very beginning of the project, but it would be preferable to concentrate external resources on staff training much earlier than has been customary in the past.

An accelerated training program early in the project requires close coordination with other aspects of building the institution. If staff

are sent for training in large numbers, the institution's operations are severely impaired during their absence. This is often offset by asking team members to take over their responsibilities while they are away. This is a very costly way to replace staff members. More importantly, this usually sacrifices the opportunity for the team member to work with the staff member - which is the major purpose for his coming in the first place. On the other hand, the team member can accomplish a great deal more if the staff member has already received his basic training. Again, experience says - emphasize training early in the project.

The dilemma of early timing for most of the training program is not easy to resolve. The team leader is warned to give this part of the project vigorous attention if the other aspects of his project are to be efficient.

#### MAJOR STEPS IN THE TRAINING PROGRAM

Five major steps are outlined in the training program, and failure to give adequate attention to any one of them could compromise the entire program:

##### Establish Institution's Needs and Priorities

The first major step is to determine the competencies needed by the institution to achieve its goals and purposes. The emphasis is on positions to be filled - not on persons wanting to study abroad. The team leader will confer with many people including team members and institution officials. He will think about various aspects of the project, such as:

- :: development plans of the institution
- :: gaps in staffing pattern
- :: purposes of the project

The initial decisions about training programs may need to be altered in later stages as institutional programs develop. However, a firm plan for several years will avoid temptations to accommodate personal rather than institutional needs.

### Selection of trainees

Selection of trainees is frequently a trying experience. Many individuals would like to be sent and the need is great. There are several criteria to be related to making selections:

- 1. Institutional priorities as indicated by a list
- 2. Competence and professional potential
- 3. Commitment to the institutional position
- 4. Language facilities
- 5. Professional orientation

Team members will be particularly helpful in suggesting and screening candidates. Much responsibility rests in the selection of trainees; if they fail, either in the training program or upon their return, they will cause great anguish to all parties concerned, and they will have denied other candidates an opportunity.

Perhaps the most difficult decision in the selection process arises when "the candidate is not qualified but he is the best we have to choose from." There are too many recorded instances where the decision to proceed with the unqualified candidate proved to be wise. Even if he completes his training course, the institution will be "stuck with a lemon" for many years.

Another difficult decision in selection of candidates is presented by pressure to include the son of a political figure even though he does

not appear on the institution's list of principles: Training selection committees are useful both for guidance and protection in such matters, but a firm policy must be established and adhered to:

#### Plan Individual Programs

The team leader and other members of the team are in a favored position for orienting the prospective trainees before they leave for foreign study: The team has an idea of the needs of the institution and they know the kind of training which is available outside the host country. The trainees should have a clear idea of the kind of training he expects to receive and how this training will contribute toward the goals of the institution. The team can help the trainees clarify this matter:

The participant trainee will probably be studying abroad in a language different from his mother tongue. The first few months of such study are extremely difficult and frustrating, even when language is no handicap: Graduate schools are becoming increasingly selective in admissions and language facility is a first requisite: Therefore, the team leader must insist that adequate language training is provided to overcome this problem: In some instances the technical assistance team will have to take the lead in organizing a program to insure that trainees arrive in the foreign country with a sufficient knowledge of the language in which he will be studying. Failure to take this precaution will tend to frustrate and defeat the individual's usefulness to his own institution rather than enhance it.

The actual training program for the staff member must be closely coordinated with the overall strategies for institutional development: The training is not provided primarily to satisfy personal desires of the

host staff member but it is provided as a means for building an institution. Planning the individual's program must be done in this frame of reference if the funds provided for the purpose are to achieve their highest accomplishment. This suggests that programming should be highly flexible to accomplish these purposes. On the other hand they need to be relatively inflexible to being molded to the individual participant's desires when they depart from basic institutional needs. It is essential that the team leader and PAA speak with one voice in executing policies for these purposes.

#### Follow-up During Training

The investment in a trainee is very heavy; both for the host institution which must carry the program in his absence; and for the sponsoring agency. Therefore, the investment merits careful attention and follow-up during the training period.

Many problems arise during the course of study, and a large proportion of them can be resolved by a phone call. They may involve decisions about the program of study; the payment of anticipated costs; or the welfare of his family. Whatever the problem, it can be distracting from maximum accomplishment if allowed to go unresolved. The follow-up by someone who is familiar with the participant's training program and with his institution's needs can be very productive. The team leader's home institution is usually best equipped to perform this service even when the site of training is at another location.

Again, close coordination is required between the follow-up servicing of the participant and the institutional development plans. It is quite

common for a participant to attempt to change his course of study in mid-stream if he feels it will provide him better market value upon his return home. This is often done without regard for his own institution's staffing needs. The participant's research program or his professional training needs to be tailored closely to his intended role in the home institution. The team leader needs to depend on the home institution for this careful guidance of the participant. It is obvious, however, that the home institution cannot provide such guidance if they do not have adequate information on the entire process. They need to know the participant's background, why he is sent to a particular institution, the line of training he is expected to receive and the role he must perform when he returns home. Furthermore, they must know the time that is allotted for the training experience. With this information in hand, they can perform outstandingly useful service and can relieve the team leader of much worry and responsibility.

#### Re-entry to Host Institution

As soon as the staff member returns from training abroad, it is urgent to capitalize on the enthusiasm which he brings with him and to provide him with guides and some resources for getting his programs underway. It is at this point that technical assistance advisers can be of greatest utility, and it is at this point that a small amount of program support funds will go a long way. Yet it is surprising how many times teams and host institutions seem completely unready for the return of a participant. This may be understandable in cases of early return of a participant, but not so for the orderly return on schedule of a participant whose return date has been known from the start of his training program. The team

leader and the host institution have, in many cases, wasted much precious investment because the reference was abandoned at the wrong moment. The team leader should recall that upon returning home, the participant may be the target of jealousy and political competition from his peers and even his administrators. He usually needs reinforcement and encouragement and at times temporary funding to get some projects underway. This type of investment is often highly productive in protecting the investment already made in providing participant training.

## CHAPTER XI - PROJECT ASSESSMENT AND PLANNING

### Assessment Difficulties

- Improper standards
- Measurement of inappropriate variables
- Inaccurate measurements

### Types of Assessment

- Inspection
- Monitoring
- Evaluation

### Object Variables to Measure

- Institutional variables
- Institutional linkages
- Criteria of institutionalley

### Assessment Related to Planning

## CHAPTER XI - PROJECT ASSESSMENT AND PLANNING

Assessment of the project will be made periodically because certain information is essential in making decisions to determine:

- 1. Whether the contractor is performing according to contract specifications
- 2. Whether to alter the course of the project or the mix of inputs
- 3. Whether changes are required in the relationship of the contractor and the host institution
- 4. Whether reasonable growth is being made by the institution
- 5. Whether the host institution has developed to a stage where external assistance is no longer necessary
- 6. Whether to continue the investment of technical assistance resources

Unfortunately, it is not uncommon for the team leader to feel that his personal performance or the performance of his team is being evaluated rather than the institution building process *per se*. This places the team leader in a defensive mood, and it often impairs his objectivity during the assessment process even though the assessment exercise may be intended to be helpful rather than critical.

This chapter will explore various types of assessment and will indicate those which are particularly helpful to the team leader in the prosecution of his institution building activities.

### ASSESSMENT DIFFICULTIES

Many studies and suggestions for assessment of projects or institutions have been made but there are still a number of difficulties involved in the process, and these can be partially relieved by a thorough understanding of the project objectives and the proposed institutional role. Difficulties are generally of the following three types:

### Improper Standards

The appropriate standards for any assessment must satisfy two criteria. In the first place, they must agree with the standards set forth at the beginning of the project or they must comply with the form in which they have been altered by appropriate documentation. To perform an assessment against other standards than these leads to considerable frustration on the part of those who are supplying information or who are the subject of assessment. The second criterion for appropriate standards is that they should yield the correct type of information needed by the decision makers.

Many assessment documents which are created by a large bureaucracy tend to require such a high degree of uniformity from one project to another that they fail to satisfy the above criteria. The team leader may find it useful to invoke these criteria in responding to assessment planning.

### Measurement of Inappropriate Variables

An institution is not composed of brick and mortar alone; nor is its excellence determined by such obvious criteria as the number of volumes in the library. An assessment which yields useful information to decision makers must, therefore, address those variables which describe the institution's true character, its capability, its dynamic quality, its potential for growth and its capacity for survival. These variables are usually subtle in character and difficult to measure, and therefore, assessment exercises often measure only the physical attributes of an institution rather than its "heart and soul."

### Inaccurate Measurements

The variables which need to be measured to describe an institution's growth and vitality usually must be measured by subjective means; which immediately poses the problem of how to remove personal bias from such measurements. Obviously, this cannot be achieved completely as long as value judgments are involved, but certain safeguards can be built into assessment activities that will be helpful.

Considerable research has been devoted to the preparation of questionnaires or other assessment instruments. These usually serve a very narrow purpose for the agency that develops the instrument and they seldom prove to be widely applicable to different projects.

### TYPES OF ASSESSMENT

There are at least three major types of assessment and each has its specific purpose and style. It will be helpful to the team leader to recognize these distinctions in order to gain maximum utility from each of them:

#### Inspection

Project inspection is characteristically performed by official visitors to the project from the home office or home institution. They will wish to see the highlights of project activity, to interview a few "typical" team members and host staff individuals, and they will perform certain protocol activities required by the project. The primary purpose for an inspection is to give the home office an overview and a "feel" for how the project is proceeding. It does not provide time for delving into details of strategy being employed, but it will give consideration to overall policies under which the project is operated.

An inspection can be viewed by the team leader as an opportunity to use the prestige of the inspectors to further the project's purposes on the local scene. This may include a wide range of activities, such as supporting project policies or requests, urging top management of the institution to commit themselves to certain decisions, or to "pull off on troubled waters" within the team group. The team leader should remember that these inspection trips occur annually and that he can only satisfy a limited number of needs during any one visit. He would do well to give some thought to the high priority issues that need to be settled during the inspection trip.

### Monitoring

The monitoring process is a careful scanning or listening to the project operations with a view to providing the team leader immediately with information that is useful in altering or re-inforcing strategies and tactics being used in the project. In this sense, monitoring differs from evaluation since it is conducted to assist the team leader rather than other administrators associated with the project. Monitoring designed to provide immediate feedback into the institution building activities. It is primarily advisory and consultative and is made for the explicit purpose of helping the team leader to do a better job. With this outlook, the monitoring process can be performed best in close cooperation with top management. The major distinguishing feature of the monitoring process is that it is performed in a climate of helpfulness and cooperation rather than as an exercise to be critical of the project performance.

Monitoring can be done in many ways but two essential features should be observed. In the first place, the team leader usually finds himself

so preoccupied with daily activities that he does not have time to stand back and look at his strategies and tactics for more than a few minutes at a time. Therefore, monitoring needs to be provided for as additional staffing requirements of the project. In the second place, monitoring requires sympathetic objectivity. Again, the team leader becomes so immersed in his routine and so committed to activities in which he has invested much time and thought that his objectivity in assessing their value or in looking for alternatives can be seriously handicapped. Outside persons can be extremely useful in discussing project tactics, procedures, decisions and accomplishment on an impersonal basis.

The value of using questionnaires or other instruments in the monitoring activities is a moot question and will depend on the specific goals, objectives, and plans of action. If such an instrument is prepared, it should be done in cooperation with the team, the external assistance agency and others interested and involved in the entire process.

The time required for such an exercise will vary according to the complexity of the project. It is extremely important, however, to achieve an atmosphere of helping the team leader in his overall operations rather than as an exercise in evaluating or criticizing his performance. In this respect, the team leader could well participate in the selection of the visitors and the timing of their visit. The monitoring activity should provide opportunity for candid and searching discussion of the institution building progress and should provide broad perspective and helpful alternatives to existing patterns of approach.

The monitoring activity has been used sparingly in the past but there is considerable evidence that it merits much wider use. When the home

institution participates in this type of monitoring activity; it enhances their confidence in the team leader's overall performance and in the efficiency with which the project is proceeding under the particular environment in which it is being performed. It also strengthens the support and technical backstopping from the home institution.

### Evaluation

Evaluation is a more inclusive term than either inspection or monitoring and it is an essential part of the overall process of assessment.

Evaluation is used to judge the development and growth of the institution. It is an essential part of the institution building process and is done primarily with a view to determining how far along the entire project has progressed. The results of evaluation usually form the basis for major decisions regarding the total level of support as well as the timing of external inputs.

The evaluation process must necessarily include some judgment as to the quality of service performed by the contract team, and this in turn is determined to a high degree by the competence of the team leader himself. It is very important, however, for the team leader to anticipate the kinds of questions which the evaluators are likely to ask and he should be prepared to answer such questions with a high degree of objectivity.

### USEFUL VARIABLES TO MEASURE

If the purpose of the project is to develop an institution which has capability for impact in the local society, the evaluators will need to determine how well developed are the various features of the institution which give it this capability. Three types of characteristics are important in this respect; namely;

- 1. Institutional variables
- 2. Linkage variables
- 3. The effects of institutionalization

### Institutional Variables

The institutional variables described in Chapter II include all of the internal characteristics of the institution which are important in describing its capability. Therefore, an assessment of the project would include some indication of the degree to which leadership, doctrine, program, resources, and internal structure have been developed. The standards against which this development is judged should have been set forth early in the project. There should be some description of the minimum leadership which must be achieved during the course of the project, the kind of doctrine that the institution would acquire and the level of commitment to it, the nature of the program which would make the institution most useful to society, the level of resources supplied from local sources and the adequacy of the organizational structure of the institution. All of these features would receive attention whether the assessment is in the form of inspection, monitoring or evaluation.

In Chapter III, various questions were posed for each of these institutional variables and any assessment activity could well start by asking these same questions. There will undoubtedly be other questions about these variables that will also be useful. The important concept here is that these are the variables which are essential to the institution's performance and therefore these are the variables which must be assessed.

It is common practice for evaluation teams to insist upon a measurement of the quantity and quality of product coming from an institution as

the ultimate criterion of the institution's capability. Unfortunately, the measurement of the value of the institutional product usually requires many years of observation and, therefore, such information is seldom available in adequate quantity during the life of a technical assistance project. It is for this reason that the characteristics of the institution itself must be used in judging project performance.

### Institutional Linkages

The impact of the institution on society and society's feelings toward the institution are also important measures of project success. Certain aspects of the institution's linkages are more easily measured than others. It is relatively simple, for example, to determine whether the institution has adequate legislative authority. It is much more difficult to determine whether the public relations program and the diffusion of knowledge and information coming from an institution are adequate. Even so, these are the real measures of the institution's impact and therefore they must be assessed in some manner.

Information on these effects can be very useful to the team leader or other administrators in judging day-by-day progress in the project. One USAID office, for example, used the descriptive categories from the institution building model to maintain an administrative-managerial profile for all of the institution building projects that were sponsored by that office. Periodic evaluations were performed with a scale of excellent, good, satisfactory, poor, or unsatisfactory for each of the categories. Administrative use of these evaluations was made by posting them on large charts in the office where everyone could follow the progress of each project. Color coding was used to represent successive periods of

evaluation, and this form of display for each of the institutional variables indicated to all administrative personnel those areas that required immediate attention.

### Criteria of Institutionalization

A final approach to evaluation of the project is to examine whether the "organization" has become an "institution." Following are three basic criteria that are useful in judging progress in this dimension:

The survival of an organization is a necessary, but not a sufficient condition, for institutionalization. If the organization dissolves, if its budget is cut off or its staff resigns, obviously it no longer has potential for becoming an institution. However, the organization could persist with staff members still on the payroll and with budget still coming to it and yet fail to develop a capability for having an impact in society. That is why survival of the organization is considered to be a necessary, but not a sufficient condition, of institutionalization.

The second measure of institutionalization is the degree to which the institution is valued in its environment. This is indicated by the degree of autonomy it has gained in the development of its program, in its internal management, and in its access to resources. It is judged by the influence it is able to exercise in its external environment.

A third test is the spread effect of its activities - i.e., whether the relationships and patterns of action which the institution has developed become normal for other units within the society. Is new technology which has been introduced by the organization becoming normal for other elements in society? Are the institution's ways of doing things, its new outlook or new values being adopted by other groups or organizations?

These criteria for judging the institutionality of an organization will become useful in the later stages of the project as the team leader and his superiors begin to ask the question of whether the project has served its purpose in institution building:

Questions to ask in determination of institutionality may well include:

- 1: Does it incorporate, foster and protect normative relationships?
- 2: Is it innovative?
- 3: Is it engaged in developing action patterns and performing services valued in society?
- 4: Has it attained a place in the environment that warrants its support?
- 5: How deep is its concern for the consequences that follow change?
- 6: How well are its linkages managed?

These questions are not inclusive by any means but they are indicators of the kinds of questions that must permeate an assessment of institutionality:

#### ASSESSMENT RELATED TO PLANNING

The several forms of assessment -- inspection, monitoring and evaluation -- can be regarded as devices for strengthening the team leader's hand; for making his job easier, more successful and rewarding. However, the benefits to be gained from assessment do not occur automatically -- they too must be actively planned for and pursued. One of the weak links in the assessment process is the tendency to allow it to stop with the writing of a report or the convening of a debriefing session. If the process stops there, the major value will have been lost. Assessment is the factual basis for rational forward planning of the project,

and the real payoff comes in the quality of forward planning:

Assessment in one form or another provides a continuous stream of facts and information required for continuous project planning. Since planning is the process of designing future activities to accomplish goals in the most effective way, it must be based on the soundest possible information.

The end objective therefore of inspection, monitoring and evaluation, as far as the team leader is concerned, is to have information upon which he can make recommendations for continuation or for change in the project. Forward planning and recommendations on level of support, types of project activities, and strategies to be pursued are essential to all parties involved in the project. The team leader is in the key position to convert assessment information into forward planning, and he therefore cannot leave this step to someone else. If the assessment is worth doing, it is worth using!

## CHAPTER XII = THE TEAM LEADER'S ROLE AND HIS PREPARATION

### The Team Leader's Role

- With the host institution and host government
- With the team
- With the home institution
- With the external assistance agency

### Desirable Role Characteristics

- Careful planning
- Open and engaging style
- Advance preparation and continued learning

### Preparation for Role

- Quantity and nature of study
- Scan status of project
- Preliminary travel
- Self appraisal
- Self renewal and reassessment

## CHAPTER XII = THE TEAM LEADER'S ROLE AND HIS PREPARATION

### THE TEAM LEADER'S ROLE

The various parties to the team leader's performance present him with a dizzying array of perspectives and demands: It would be very easy for him to get lost or swamped in such a maze unless he has a reasonably good map to guide his activities, decisions, and functions:

Let us briefly recapitulate what each of the four key relationships has in store for him:

#### With the Host Institution and Host Government

The team leader is to bring in from the outside ideas for improved institutional models; new skills and technology; additional external resources (such as equipment, operating funds and information) and opportunities for host staff members to gain outside training and experience. The application of these resources is to be managed in such a way as to contribute most efficiently to building the host institution's capability to become an innovative influence in its society. Thus in a real sense the team leader becomes a joint manager of the host institution's external resources that form a minor part of its total resources but which represent its major potential for change and innovation.

#### With the Team

The team leader's role is to guide the professional energies of all members in the role of institution builders and to administer their activities in such a way that they are professionally rewarding and upgrading. They will, of course, look to him for many of their personal and family needs; and as a channel of communication to their home institution and to the other agencies with whom the project is working. The

major role, however, which the team leader cannot delegate to anyone else, is to manage the professional activities of the team members so that their customary professional performance is converted to institution building ends.

#### With the Home Institution

The team leader's role is the "on location manager" of the contract with the external assistance agency. He must ensure that all of the provisions and constraints of the contract are met. He must direct the activities of the personnel entrusted to his care and make provision for the safety and general welfare of their families. He is the designer and the executor of the major strategies of the institution building project, and he is the evaluator of the performance of the members of his team. He is the projector and protector of the image of the home institution.

#### With the External Assistance Agency

The team leader's role is that of the direct contact person on the project site. In this position, he is to provide monitoring information to the agency on the progress of the project, estimates of its resource needs, and general evaluation of the importance of the project to the overall country development.

The team leader's role looks complex and almost unmanageable even when viewed piece by piece like this. Yet he has to put the pieces together and manage them as a whole. It is useful, therefore, to develop some feeling for how he will orchestrate the entire set into a single

manageable role for himself.

In the first place, all demands will not come at him as soon as he arrives. Host nationals and team members will simply not ask him or even expect him to function far beyond the capacity of any newcomer. At least they will not persist with unrealistic expectations if they see him trying honestly to learn and big enough to admit his early ignorance and need for help. Initially, therefore, he may take responsibility for only the routine aspects of managing of the technical assistance team. Only as he gains experience and develops the confidence of his colleagues and his administrators will he be relied upon to interpret policy, to make judgments on allocation of resources, to evaluate personnel performance, and to render opinion in the stage of the development of the entire project.

The role of the team leader also changes as the project itself matures. In the initial stages, the team leader's major concern is with getting a team into the field, getting their housing and family accommodations worked out, setting up administrative structure and making contact with the host institution and host government. As the project gets underway, however, these activities will become so routine that they will be delegated to sub-professionals and the role of the team leader increasingly takes on the more complex features of determining strategy for the many facets of the institution building operation, establishing priorities in the further use of external assistance resources, creating opportunities for more effective team involvement, and providing general leadership to the whole enterprise.

## DESIRABLE ROLE CHARACTERISTICS

Whatever the stage of development of the team leader or of the project, experience shows that his work will be better if it has three characteristics: careful planning, a style that is open and engaging, and the outgrowth of thoughtful homework and basic personal preparation.

### Careful Planning

Very simply, the greater the complexities, the more important it is to have a plan. A long-term, detailed plan is not meant here, important as that is, but a disposition and skill to work systematically, to establish and keep updating simple work plans for his activities. Such an approach will permit the team leader to give his attention in an orderly manner to the most important functions which he must perform first, leaving the less important functions to others or for later disposition. Experience warns that the most dedicated and persistent administrator cannot overcome the handicaps of misconceived or planless work. The most frequent complaint registered against team leaders in the past is that they do not find time to be a leader but rather find themselves entangled in the minutiae of administrative chores.

### An Open and Engaging Workstyle

Again, whatever the stage of development of the project, there are certain administrative practices which the team leader will wish to bear in mind because of the complicated nature of this particular assignment. Hopefully his personal preferences will make these easy for him. The fact that he is looked to for administrative leadership by such a wide variety of clients makes it extra important that his management style

is open, that he discusses problems freely with a large number of people, that he seeks inputs and information from many quarters, and that his decisions are clearly based on estimates devoid of personal benefit and on obvious dedication to the project's purpose. To violate any one of these features in his administrative style is to invite serious restriction on his capacity and usefulness in this demanding role.

### Advance Preparation and Continued Learning

Team leaders who manage their complex role well are those whose preparation has depth - the depth that allows them to work below the continuous disturbances and distractions at the surface of events. This preparation must be both personal and professional and it starts way back.

As far as advance preparation for the particular institution building project is concerned, it is very important to safeguard it from the many pressing demands on the team leader as he closes up his work at the home institution and attends to the exacting details of getting himself and his family organized for departure. He should be given as much time as he needs to be familiar with the processes of institution building and the political and social forces which affect its progress. He also needs some feel for the host country, for the political and cultural setting and the people with whom he will be working. And he may need time for language training.

### PREPARATION FOR ROLE

#### Quantity and Nature of Study

People differ in the amount of study they find useful as preparation for going to a new situation. Some read everything they can lay their

hands on - a kind of saturation. Others prefer to study later, in relation to issues thrown up in the actual situation. They want to let the situation speak to them and to listen. The quantity of preparation the team leader is comfortable with is the mode for him to adopt. As to the nature of the study and what to avoid, some useful hints can be given.

What is important is to get a feel for the patterns of living and working in the host country. How do people there perceive and experience their world and manage themselves in it? It is particularly important that the team leader gain this understanding about the people with whom he will work both in the new institution and in the part of the country in which the institution is located. The aim is to develop a capacity for seeing the world "through their eyes" so that he can relate himself and his contribution accurately to their view. The difference between their point of view and his own lies, not in the amount each has experienced, or that one experience is better than the other. It is that they experience differently, give different importance to similar events, and attach different meanings to those events. The same is true, of course, between different groups in the host country.

The danger of most conventional literature and study about other people is that they emphasize the differences. The reader becomes an interested outsider on strange events. The host country is not a place in which relationships can be developed and a new institution built in a systematic, predictable manner when the readings make the country remote. What the team leader needs to study are inside facts. Analyses by outsiders need not be avoided, but the team leader can best build his

understanding through studying the country's own literature and scholarly work, autobiographic journals and papers. By reading the indigenous material, the team leader will learn how the facts hang together for the people in the host country. It will describe the world they know. Ignorance of "facts" is inevitable and may in fact be advantageous because the team leader will have more reason to ask local people for information. They will then be in a position to give him something; and they usually enjoy being asked.

In addition to understanding the host country and its people, there are other substantive areas to study in preparation which are more for useful ways of thinking than for facts. The areas include the strategies of organized social change, particularly by means of institution building, and consulting processes.

### Scanning the Current State of the Project

Scanning of the contract and of the current state of the project is also necessary preparation. It is the team leader's personal responsibility to satisfy himself that the goals and the arrangements make sense to him and that he can responsibly devote a major piece of his life, and of his family's, to helping them come true. This need for a personal estimate does not belittle the estimates made by the parties which entered into the contract, or by his predecessor if the team leader is joining an ongoing project.

Feasibility in the abstract is a first check. Reasonable certainty that the various commitments on paper can be carried out is a second. The team leader needs to appraise to his satisfaction the relationships between key agencies involved, and the different stakes which the host

government, the external assistance agency and the home institution may have in the project; whether they mesh and mesh well enough? Whether, if they do not, they can be made to do so. Out of this he may formulate specific requests for revising some of the arrangements, even as a condition for his taking on the task.

### Preliminary Travel

After the team leader has scanned the current state of the project, some preliminary travel is highly recommended. The travel should include a visit to the host country, especially if he has not been there before. This trip can firm up the team leader's estimates of institutional climate and commitment, and yield myriad details relevant to his understanding of his task and new situation. Equally important will be a better understanding of the tasks and roles of others in the project.

It is important that the team leader also meet with persons in his own country or elsewhere who have experience in the host country. They can share their estimates of its strengths, weaknesses, and its ways of working. They can help the team leader explore the questions he has at this preliminary stage. It is no longer a matter of more information. He needs help with patterning, and profitting from, accumulated information. Most important, the team leader needs the reassurance and confirmation that comes from discussing his own perspective with one or two experienced and respected persons.

### Self Appraisal

Along with gaining this preliminary understanding of the project, its potentialities and pitfalls, the thoughtful team leader reflects also on the demands the project will make on him. What combination of personal

strengths and weaknesses does he bring to the task? Does he find himself liking his prospective host colleagues, and they him? Does the task and situation encompass the things he enjoys and does well? Do its demands fall within his personal capacities and tolerances, and those of his family? Successful team leaders operate out of an internal peace which gives them strength and endurance and also the freedom to try new ways, to take risks, and to live with uncertainties and low control. They feel right about themselves in this role. Calm competence, not frantic activity is the hallmark of their work.

### Self Renewal and Reassessment

The team leader may well plan to take a few days soon after arrival to review his role in relation to what he finds the state of the institution to be in fact. The following steps can serve as an outline for such a mapping exercise:

1. How are the project's objectives understood by the host nationals engaged in it? How do present objectives compare with initial rationale for establishing the project? How do the major inputs to be made from the external assistance project match what is needed?

2. What functions seem to be required from the technical assistance team to attain the basic objectives?

3. What is the state of the resources to support the above functions (money, supplies, equipment, material, facilities, skills) and what is their prospective flow?

4. What actions are waiting to be taken, in order to perform the above functions? (Establish various linkages, build new leadership, train new personnel, etc.)

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5. What types of personnel and what additional competences are still needed? (how many and what qualifications)

6. How can the team members be committed to various roles to perform most effectively in institution building?

7. What will be the measure of success that should be looked for at the end of the first year? the second? and the third?

8. What are reasonable time dimensions for accomplishing certain stages in the institution building project?

9. What are the most urgent steps required of the team leader during the next two or three months?

10. Which attract him most (least) and which blind spots of his own does he need to guard against?

Similar reviews deserve to be inserted from time to time into the team leader's schedule, some involving other team members. He needs to keep on reflecting and learning, as he also helps others learn.

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